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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

1269

Total Pages

First Named Inventor or Application Identifier

Budd et al.

Express Mail Label No.

EE 118354094 US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ Fee Transmittal Form  
(Submit an original, and a duplicate for fee processing)
2. ☒ Specification [Total Pages **53**]  
(preferred arrangement set forth below)
  - Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to Microfiche Appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
3. ☒ Drawing(s) (35 USC 113) [Total Sheets **17**]
4. Oath or Declaration [Total Pages **7**]
  - a. ☒ Newly executed (original or copy)
  - b. ☒ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 17 completed)  
[Note Box 5 below]
    - i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
5. ☒ Incorporation By Reference (useable if Box 4b is checked)  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

6. ☐ Microfiche Computer Program (Appendix)
7. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Copy
  - b. ☐ Paper Copy (identical to computer copy)
  - c. ☐ Statement verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

8. ☐ Assignment Papers (cover sheet & document(s))
9. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
10. ☐ English Translation Document (if applicable)
11. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
12. ☐ Preliminary Amendment
13. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
14. ☐ Small Entity ☒ Statement filed in prior application, Status still proper and desired
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Other: .....

17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:

☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP)

of prior application No: **08, 387, 832**

## 18. CORRESPONDENCE ADDRESS

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**FEE TRANSMITTAL**Note: Effective October 1, 1997.  
Patent fees are subject to annual revision.**TOTAL AMOUNT OF PAYMENT** (\$)**Complete if Known**

Application Number

Filing Date

First Named Inventor

Group Art Unit

Examiner Name

Attorney Docket Number

**METHOD OF PAYMENT (check one)**

- 1.
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Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
101	790	201	395	Utility filing fee	395
106	330	206	165	Design filing fee	
107	540	207	270	Plant filing fee	
108	790	208	395	Reissue filing fee	
114	150	214	75	Provisional filing fee	

**SUBTOTAL (1)** (\$) 395**2. CLAIMS**

2. CLAIMS		Extra	Fee from below	Fee Paid
Total Claims	28	-20 = 8	X 11	= —
Independent Claims	8	- 3 = 5	X 41	= —
Multiple Dependent Claims			X	=

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
103	22	203	11	Claims in excess of 20
102	82	202	41	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim
109	82	209	41	Reissue independent claims over original patent
110	22	210	11	Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2)** (\$) 395**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	950	217	475	Extension for reply within third month	
118	1,510	218	755	Extension for reply within fourth month	
128	2,060	228	1,030	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,320	241	660	Petition to revive - unintentional	
142	1,320	242	660	Utility issue fee (or reissue)	
143	450	243	225	Design issue fee	
144	670	244	335	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	790	246	395	Filing a submission after final rejection (37 CFR 1.129(a))	
149	790	249	395	For each additional invention to be examined (37 CFR 1.129(b))	

Other fee (specify) \_\_\_\_\_

Other fee (specify) \_\_\_\_\_

\* Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$)**SUBMITTED BY**Typed or  
Printed Name

Robert C Beck

Signature

Robert C Beck

Date

1/9/98

**Complete (if applicable)**

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28,184

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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:		Examiner:	
Serial No.:		Group Art Unit:	
Filing Date:		Docket No.:	1269
Title	Electrophysiology Mapping System		

Communication

Assistant Commissioner for Patents  
Washington, DC 20231

Dear Sir:

This is a new application and it is filed under new rule 1.53.

This application is C-I-P of and is copending with 08/387,832 filed 5/26/95 and a declaration from that application is provided herewith. The application is identical to but not copending with 08/420,698 which recently issued as 5,662,108. A copy of the original declaration in that case is also provided. The new PTO/SB/05 form does not provide for this situation and the rule seems silent on the issue as well. If a further Oath or Declaration is required kindly issue a "Missing Parts" action.

Respectfully Submitted,  
By his attorneys:

Date:

1/9/98



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## ELECTROPHYSIOLOGY MAPPING SYSTEM

### 1. Cross Referenced to Related Cases

This is a Continuation-In-Part of U.S. Serial No.  
5 08/387,832, filed February 16, 1995, entitled "Endocardial  
Mapping System and Catheter Probe"; which in turn is a  
Continuation-In-Part of Serial No. 07/950,448, filed  
September 23, 1992; and is a Continuation-In-Part of Serial  
No. 07/949,690. The parent application, Serial No.  
10 08/387,832, is incorporated by reference herein.

### 2. Field of the Invention

The parent invention relates to electrophysiology  
apparatus which is used to measure and to visualize  
15 electrical activity occurring in a patient's heart. The  
system can display both a visual map of the underlying  
electrical activity originating in a chamber of a patient's  
heart and the location of a therapy catheter located within  
a heart chamber. The electrophysiology apparatus includes  
20 several subsystems including: a therapy catheter system, a  
measurement catheter system and a computer based signal  
acquisition, control and display system.

### 3. Background of the Invention

Many cardiac tachyarrhythmias are caused by conduction defects which interfere with the normal propagation of electrical signals in a patient's heart.

5 These arrhythmias may be treated electrically, pharmacologically or surgically. The optimal therapeutic approach to treat a particular tachyarrhythmia depends upon the nature and location of the underlying conduction defect. For this reason electrophysiologic mapping is used  
10 to explore the electrical activity of the heart during a tachyarrhythmic episode. The typical electrophysiologic mapping procedure involves positioning an electrode system within the heart. Electrical measurements are made which reveal the electrical propagation of activity in the heart.  
15 If ablation is the indicated therapy then a therapy catheter is positioned at the desired location within the heart and energy is delivered to the therapy catheter to ablate the tissue.

There are numerous problems associated with these  
20 electrophysiologic diagnostic and therapeutic procedures. First the testing goes on within a beating heart. The motion of the diagnostic catheter and treatment catheter can injure the heart and provoke bouts of arrhythmia which interfere with the collection of diagnostic information.  
25 During the delivery of ablation therapy it is common to use fluoroscopic equipment to visualize the location of the

catheters. Many physicians are concerned about routine occupational exposure to X-rays. In addition, the traditional mapping techniques do not provide a high resolution view of the electrical activity of the heart which makes it difficult to precisely locate the source of the arrhythmia.

### Summary

The electrophysiology apparatus of the invention is partitioned into several interconnected subsystems. The measurement catheter system introduces a modulated electric field into the heart chamber. The blood volume and the moving heart wall surface modify the applied electric field. Electrode sites within the heart chamber passively monitor the modifications to the field and a dynamic representation of the location of the interior wall of the heart is developed for display to the physician. Electrophysiologic signals generated by the heart itself are also measured at electrode sites within the heart and these signals are low pass filtered and displayed along with the dynamic wall representation. This composite dynamic electrophysiologic map may be displayed and used to diagnose the underlying arrhythmia.

A therapy catheter system can also be introduced into the heart chamber. A modulated electrical field delivered to an electrode on this therapy catheter can be



used to show the location of the therapy catheter within the heart. The therapy catheter location can be displayed on the dynamic electrophysiologic map in real time along with the other diagnostic information. Thus the therapy  
5 catheter location can be displayed along with the intrinsic or provoked electrical activity of the heart to show the relative position of the therapy catheter tip to the electrical activity originating within the heart itself. Consequently the dynamic electrophysiology map can be used  
10 by the physician to guide the therapy catheter to any desired location within the heart.

The dynamic electrophysiologic map is produced in a step-wise process. First, the interior shape of the heart is determined. This information is derived from a  
15 sequence of geometric measurements related to the modulation of the applied electric field. Knowledge of the dynamic shape of the heart is used to generate a representation of the interior surface of the heart.

Next, the intrinsic electrical activity of the  
20 heart is measured. The signals of physiologic origin are passively detected and processed such that the magnitude of the potentials on the wall surface may be displayed on the wall surface representation. The measured electrical activity may be displayed on the wall surface  
25 representation in any of a variety of formats. Finally, a location current may be delivered to a therapy catheter

within the same chamber. The potential sensed from this current may be processed to determine the relative or absolute location of the therapy catheter within the chamber.

5           These various processes can occur sequentially or simultaneously several hundred times a second to give a continuous image of heart activity and the location of the therapy device.

10                   Brief Description of the Drawings

          An exemplary and illustrative form of the invention is shown in the drawings and identical reference numerals refer to equivalent structure throughout.

          FIG. 1 is a schematic block diagram of the  
15   electrophysiology apparatus;

          FIG. 2 is a block diagram representing the partitioning of the electrophysiology apparatus;

          FIG. 3 is a diagram of an illustrative balloon electrode set implementation of the measurement catheter  
20   and a therapy catheter;

          FIG. 4 is a schematic diagram of an illustrative basket electrode set implementation of the measurement catheter;

          FIG. 5 is a flow chart showing the wall surface  
25   generation process;

          FIG. 6 is a schematic diagram of a row of



electrodes of the balloon catheter and their use in measuring distance to the heart chamber wall;

FIG. 7 is a screen display representing the motion of the cardiac wall surface;

5           FIG. 8 is a schematic block diagram of the portion of the electrophysiology apparatus which implements the body orientation generation process;

FIG. 9 is a flow charting showing the body orientation generation process;

10           FIG. 10 is a flow chart showing the wall electrogram generation process;

FIG. 11 is a representative screen display showing wall electrogram information;

15           FIG. 12 is a representative screen display showing wall electrogram information;

FIG. 13 is a representative screen display showing wall electrogram information;

FIG. 14 is a flow chart showing the site electrogram generation process; and

20           FIG. 15 is a flow chart showing the movable electrode location process.

FIG. 16 is a schematic block diagram of the therapy catheter system;

25           FIG. 17 is a schematic diagram of the laser delivery embodiment of the therapy catheter;

FIG. 18 is a schematic diagram of a microwave

delivery embodiment of the therapy catheter;

FIG. 19 is a schematic diagram of a chemical delivery embodiment of the therapy catheter; and

FIG. 20 is a schematic diagram of the angioplasty catheter embodiment of the therapy catheter.

#### Detailed Description

FIG. 1 shows the electrophysiologic apparatus 10 connected to a patient 12. In a typical procedure a monitoring catheter system 14 is placed in the heart 16 to generate a display of the electrical activity of the heart 16. After diagnosis a therapy catheter 18 may be inserted into the heart to perform ablation or other corrective treatment.

The monitoring catheter 14 has a proximal end 20 which may be manipulated by the attending physician, and a distal end 22 which carries a monitoring catheter electrode set 44. In general the distal end 22 of the monitoring catheter 14 will be relatively small and will float freely in the heart chamber. The therapy catheter 18 has a distal end 24 which carries a therapy catheter electrode set 46. The therapy catheter also has proximal end 26 which can be manipulated by the attending physician.

The electrode sets located on the catheters are coupled to an interface system 28, through appropriate cables. The cable 30 connects the monitoring catheter

electrode set 44 to the interface system 28 while cable 32 connects the therapy catheter electrode set 46 to the interface system 28. The interface system 28 contains a number of subsystems which are controlled by a computer 34.

5 The data collected by the interface system 28 is manipulated by the computer 34 and displayed on a display device 36. Surface electrodes represented by electrode 40 may also be coupled to the electrophysiology apparatus 10 for several purposes via an appropriate cable 42. A  
10 therapy generator 38 is connected to the therapy catheter electrode 60 and to the therapy surface ground 70, through the interface system 28. The skin surface electrode cable 42 couples the ECG surface electrodes 74 to the ECG system 39, which may be a subsystem of interface system 28.

15 FIG. 2 is a schematic diagram showing an illustrative segmentation of the electrode sets and their electrical connections to subsystems in the electrophysiology apparatus 10. For example the monitoring electrode set 44 contains a subset of passive electrodes 48  
20 which are connected to a signal conditioner 50. The monitoring electrode set 44 also contains a subset of active electrodes 52 which are connected to a signal generator 54 through a switch 59. The signal generator 54 is controlled by the computer 34. In operation, the signal  
25 generator 54 generates a burst of (4800 Hz for example) signals which are supplied to the active electrode set 52.

This energy sets up an electric field within the heart 16 chamber. The electrical potentials present on the passive electrode set 48 represent the summation of the underlying electrophysiological signals generated by the heart and the 5 field induced by the burst. The signal conditioner 50 separates these two components. The preferred technique is to separate the signals based upon their frequency.

The high pass section 56 of the signal conditioner extracts the induced field signals as modulated 10 by the blood volume and the changing position of the chamber walls 125. First, the signals are amplified with a gain of approximately 500 from passive electrodes 48 with amplifier 151. Next, the signals are high pass filtered at roughly 1200 Hz by filter 153. Then the 4800 Hz signal is 15 extracted by demodulator 155. Finally, the individual signals are converted to digital format by the analog to digital converter 157 before being sent to the computer 34.

The low pass section 58 of the signal conditioner 50 extracts physiologic signals. First, signal drift is 20 reduced with a 0.01 Hz high pass filter 143. Next, a programmable gain amplifier 145 amplifies the signals. Then a low pass filter 147 removes extraneous high frequency noise and the signal from the induced field. Finally, the physiologic signals are converted to digital 25 format by the analog to digital converter 149 before being sent to the computer 34.

The therapy catheter electrode set 46 includes at least one therapy delivery electrode 60, and preferably one or more monitoring electrodes 62, and one or more locator electrodes 68. The therapy delivery electrode 60  
5 cooperates with the ground electrode 70, which is generally a skin patch electrode, to deliver ablation energy to the heart. These electrodes are coupled to the ablation energy generator 38 which is shown as an RF current source. A locator electrode 68 is provided which is preferably  
10 proximate the delivery electrode 60, but can be a separate electrode site located near the distal end 24 of the therapy catheter 18. This electrode site is coupled with an active electrode 52 through a switch 59 to the signal generator 54. In use, the electric field coupled to the  
15 therapy catheter 18 permits the physician to track and visualize the location of the locator electrode 68 on the display device 36. The therapy catheter electrode set 46 can also be used to monitor the physiologic signals generated at the chamber wall 125 by a low pass signal  
20 conditioner 141 which is similar to the low pass section 58 of the signal conditioner 50. These digitized signals are then sent to the computer 34.

At least one electrode pair 119 of surface electrodes 40 are also coupled to the signal generator 54  
25 through switch 59. Each electrode 89 and 115 are placed opposite each other on the body surface with the heart 16

in-between them. The induced field is sensed by passive electrodes 48 and conditioned by the high pass section 56 of the signal conditioner 50. This field helps the computer 34 align or orient the passive electrodes 48 to the body for better visualization of the heart on the monitor 36.

The ECG subsystem 39 accepts signals from standard ECG skin electrodes 74. It also contains a low pass section similar to the low pass section 58 of signal conditioner 50. In general, the passive electrode set 48 and active electrode set 52 will reside on a single catheter, however it should be recognized that other locations and geometries are suitable as well. Both basket and balloon devices are particularly well suited to this application.

FIG. 3 shows an electrode configuration on a balloon catheter 94 which has an inflatable balloon 96 which underlies an array or set of passive electrodes 48 typified by passive electrode 72. These passive electrodes 48 can be organized into rows, typified by row 123, and columns, typified by column 121. A pair of active excitation electrodes 52 are typified by proximal electrode 92 and distal electrode 98. The balloon catheter 94 configuration can be quite small in comparison with the basket catheter 80 configuration. This small size is desirable both for insertion into and for use in a beating



heart 16.

FIG. 3 also shows a movable, reference or therapy catheter system 18. This catheter is shown lying along the interior surface 125 of the heart 16. A pair of electrodes shown as delivery electrode 60 and reference electrode 62 are located a fixed distance apart on the catheter body 64. This auxiliary catheter may be used to supply ablation energy to the tissue during therapy. This therapy catheter 18 may be used with either the basket catheter 80 configuration or the balloon catheter 94 configuration.

FIG. 4 shows an electrode configuration on a basket catheter 80. The limbs of the basket 80, typified by limb 82 carry multiple passive electrode sites typified by electrode 84. A pair of active excitation electrodes are shown on the central shaft 86 of the basket 80 as indicated by excitation electrode 88. The basket catheter 80 electrodes lie gently against the interior surface 125 of the heart 16 urged into position by the resilience of the limbs. The basket catheter 80 permits unimpeded flow of blood through the heart during the mapping procedure which is very desirable. This form of catheter also places the electrodes into contact with the heart chamber wall 125 for in-contact mapping of the physiologic potentials of the heart 16.

Returning to FIG. 1 and FIG. 2 these figures show one illustrative partitioning of system functions. In use,

the signal generator 54 can generate a 4800 Hz sinusoidal signal burst on the active electrode set 52 which creates an electric field in the heart. The changing position of the chamber walls 125 and the amount of blood within the heart determines the signal strength present at the passive electrode sites 48. For purposes of this disclosure the chamber geometry is derived from the electric field as measured at the passive electrode sites 48 which may, or may not be in contact with the walls 125 of the heart. In the case of the basket electrodes 84 which lie on the heart surface 125 the field strength is inversely proportional to the instantaneous physical wall location and the distance from the active electrodes 52 to these walls. In the case of the balloon catheter the potentials on the passive set of electrodes 72 are related to the wall location, but a set of computationally intensive field equations must be solved to ascertain the position of the wall. In general, both the basket and balloon approach can be used to generate the dynamic representation of the wall surface.

The computer 34 operates under the control of a stored program which implements several control functions and further displays data on a display device 36. The principal software processes are the wall surface generation process (WSGP); the body orientation generation process (BOGP); the wall electrogram generation process (WEGP); the site electrogram generation process (SEGP); and

the movable electrode location process (MELP).

#### WALL SURFACE GENERATION PROCESS

FIG. 5 is a flow chart describing the method used to generate the "wall surface" of the interior of the heart 16. The step-wise processes are presented with certain physical parameters which are either known in advance by computation or are measured. This knowledge or information is shown in block 53, block 55 and block 57. The WSGP process begins at block 41 with the insertion of the monitoring catheter 14 in the heart 16. This catheter 14 places an array of electrodes 44 in a heart 16 chamber. This array must have both passive measurement electrode sites 48 and active interrogation electrode sites 52 located in a known position. The process enters a measurement and display loop at block 43 where an interrogation pulse burst is generated by the signal generator 54 seen in FIG. 2. These pulses are generated first with the current source at site 92 and the current sink at site 98 and second with the current source at site 98 and the sink at site 92 as seen in FIG. 3. At block 45 the signal conditioner 50 uses information on the frequency and timing of the interrogation current from block 53 to demodulate the signals and analog to digital convert the signals received at the passive measurement electrodes 48. At block 47 the information from block 55 is used. This

information includes both the current strength of the  
interrogation pulse and the location of the interrogation  
source and sink electrodes. Impedance is voltage divided  
by current. The voltage offset caused by the location of  
5 the current source can be reduced by the two measurements  
of opposite polarity. This information is used to  
determine the impedance which the chamber and the blood  
contained in that chamber imposes on the field generated by  
the interrogation current. The knowledge from block 57 is  
10 used next. Block 49 determines how the heart chamber  
tissue, which has roughly three times the impedance of  
blood, in combination with the type of electrode array  
affects the field generated by the interrogation  
electrodes.

15 In a system as shown as the basket in FIG. 4 the  
blood effects the impedance directly as the field is  
propagated from the interrogation electrodes to the  
measurement electrodes. In general, if a point current  
course is used within a chamber the inverse of the measured  
20 voltage is proportional to the square root of the distance  
from the source. With the distance from each electrode 84  
to both excitation electrodes 88 computed from the measured  
voltage and the known location of the electrodes 84  
relative to each other, the locations of each electrode 84  
25 can be determined.

In a system as shown in FIG. 3 the impedance of

the field generated within the blood volume is modulated by the position of the walls 125, with their higher impedance, with respect to the location relative to the measurement electrodes. Using this knowledge and the measurements from  
5 block 47 the distance from the interrogation electrodes to the heart chamber wall 125 is determined at a point normal to the field generated by the active interrogation electrodes 52.

The passive electrodes 48 on the balloon catheter  
10 94 can be positioned in rows 123 and columns 121 with the columns in a line from the top of the balloon 96 near active electrode 92 to the bottom of the balloon 96 near active electrode 98. In a preferred embodiment three configurations are possible: 8 rows and 8 columns, 7 rows  
15 and 9 columns, and 6 rows and 10 columns. In each such embodiment the measurements from any row 123 are treated independently. Using the 8 row, 8 column embodiment as an example, 8 measurements of distance are taken for any selected row of electrodes, giving a total of  
20 64 measurements.

FIG. 6 is a schematic drawing of the embodiment required to measure the distance 129 from the centroid 127 of the balloon 96 through the passive electrode 131 to the heart chamber wall 125. The passive electrode 131 is one  
25 of eight electrodes on a row of electrodes 123. Starting with electrode 131 and labeling it as electrode A, the

other electrodes on the row 123 are labeled B, C, D, E, F, G and H by proceeding around the balloon 96 in a clockwise direction. The measurements of impedance "I" at these electrodes are thus labeled  $I_A$ ,  $I_B$ ,  $I_C$ ,  $I_D$ ,  $I_E$ ,  $I_F$ ,  $I_G$  and  $I_H$ .

5 To compute the distance 129 in the direction of electrode 131 the following equation is computed:

$$\ln(D_A) = c_0 + c_1 \ln(I_A) + c_2 \ln(I_B) + c_3 \ln(I_C) + c_4 \ln(I_D) + c_5 \ln(I_E) + c_4 \ln(I_F) + c_3 \ln(I_G) + c_2 \ln(I_H)$$

where  $D_A$  is the desired distance 129 and  $c_0$  through  $c_5$  are  
10 optimized parameters. A typical vector of these parameters is  $(c_0, c_1, c_2, c_3, c_4, c_5) = (3.26, -.152, -.124, -.087, -.078, -.066)$ .

Once the distance 129 in the direction of electrode 131 is determined then the computation can be  
15 redone by shifting this direction clockwise one electrode, relabeling electrodes A through H and solving the above equation again. Once the distances for this row of electrodes 123 are determined then the next row distances are determined in the same way until the distances at all  
20 64 electrodes are determined.

Returning to FIG. 5, with multiple wall locations in space determined by this method, a model of the chamber wall 125 shape can be created in block 51. Various techniques for creating a shape are possible, including  
25 cubic spline fits, and best fit of an ellipsoid. The positions of the active electrodes 52 and the passive



electrodes 48 relative to the heart 16 chamber walls are also determined at this point. The loop continues as the method moves back to block 43. This loop continues at a rate fast enough to visualize the real-time wall motion of the heart chamber, at least at twenty times per second.

There are numerous display formats or images which can be used to present the dynamic endocardial wall surface to the physician. It appears that one of the most useful is to unfold the endocardial surface and project it onto a plane. Wire grid shapes representing a perspective view of the interior of the heart chamber are useful as well. It appears that each individual physician will develop preferences with respect to preferred output image formats. In general, different views of the endocardial surface will be available or may be used for diagnosis of arrhythmia and the delivery of therapy. One distinct advantage of the present invention is that the image of the heart wall is not static or artificial. In this system the image is a measured property of the heart wall, and is displayed in motion.

FIG. 7 shows two separate frames of the dynamic representation of the heart wall. Wire frame 71 shows the heart at systole while wire frame 73 shows the heart at diastole. Path arrow 75 and path arrow 77 represent the dynamic cycling through several intermediate shapes between the systole and diastole representation. These views are

useful as they indicate the mechanical pumping motion of the heart to the physician.

#### BODY ORIENTATION GENERATION PROCESS

5        FIG. 8 is a schematic drawing of the apparatus required to perform the body orientation generation process. It shows a patient 12 with at least one pair 119 of skin electrodes 40 attached to the body surface in a stationary position on the body and in a known  
10 configuration. These electrodes are typified by example surface electrodes 89 and 115 each of which could be an ECG electrode 74, an RF generation current sink electrode 70, or another electrode specifically dedicated to the BOGP. Ideally, electrode 89 and 115 are opposite one another on  
15 the body with the heart 16 directly in between them. This pair of electrodes is attached to the signal generator 54 through the switch 59 via an appropriate cable 117. The distal end 22 of monitoring catheter 14 is situated in the heart 16 where the passive electrodes 48 can measure the  
20 signals generated across the electrode 89 and electrode 115.

FIG. 9 is a flow chart describing the method used to align the wall surface representation of the WSGP to the body orientation. The process begins at step 101 where the  
25 monitoring catheter 14 with a set of passive electrodes 48 is inserted into heart 16 chamber and a pair of surface

electrodes 119 are attached at a known position on the body  
12. The process begins cycling at step 102 where the  
signal generator 54 generates a signal across the skin  
electrode 89 and skin electrode 115. At step 103 the  
5 voltage created by the signal generator 54 is measured from  
passive electrode 48 by the high pass section 56 of the  
signal conditioner 50 by using the information from block  
110 which includes the frequency and timing of the field  
generated by the signal generator 54. This voltage  
10 information is stored in an array "Y".

At step 104 a regression analysis is performed  
which creates a vector which lines up with the field  
generated in step 103. This regression method is the same  
whether a basket catheter as shown in FIG. 4 or a balloon  
15 catheter as shown in FIG. 3 is used. The location of each  
passive electrode 48 is provided to the method by block  
110. This information comes from different sources in each  
case however. In the case of a basket catheter 80 these  
three dimensional electrode locations come from the WSGP.  
20 In the case of the balloon catheter 94 these three  
dimensional electrode locations are known a priori. In  
each case they are saved in an array "X". The regression  
to compute the orientation vector uses the standard  
regression equation for the computation of a slope:

25 
$$b = \Sigma xy / \Sigma x^2$$

where "X" is the array of electrode locations, "Y" is the

array of measured voltages and "b" is the orientation vector. If more than one pair of skin electrodes are used then an orthogonal set of orientation vectors can be created and any rotation of the monitoring catheter 14 relative to the body 12 can be detected.

In step 105 the information on the location of the chamber walls 125 from the WSGP 109 can be used to create a three dimensional model of the heart 16 chamber as seen in FIG. 7. By combining this model with the computed orientation from step 104 and the known location of the skin electrodes 108 this representation can be shown in a known orientation relative to the body in step 106. In step 107 a specific orientation such as typical radiological orientations RAO (right anterior oblique), LAO (left anterior oblique), or AP (anterior/posterior) can be presented. By repeatedly showing this view a dynamic representation can be presented which matches the view shown on a standard fluoroscopic display. Thus such an image can be presented without the need for using ionizing radiation.

#### WALL ELECTROGRAM GENERATION PROCESS

FIG. 10 is a flow chart describing the wall electrogram generation process (WEGP). This process begins at block 61 when a monitoring catheter 14 with an array of passive measurement electrodes 48 is placed in a heart

chamber 16 and deployed. The process enters a loop at block 63. The frequency of the interrogation pulses generated by the signal generator 54 is provided by block 85. With this knowledge the low pass filter section 58 of the signal conditioner 50 measures the voltage at frequencies lower than the generated interrogation pulses. Typically the highest frequency of the biopotentials is 100 Hz but can be as high as 250 Hz.

In the case of a basket system as seen in FIG. 4 the measurements are contact voltages from the chamber wall 125 tissue contacting the electrodes 84.

In the case of a balloon system as seen in FIG. 3 the measurements are measurements of the field generated throughout the blood volume by the tissue on the chamber wall 125. At step 65, a model of the array boundary and the chamber wall 125 boundary is created from the information in block 87. This information includes the location of the passive electrodes 48 on the array and the chamber wall 125 locations from the WSGP.

In the case of a basket system as seen in FIG. 4, the array boundary and the chamber wall 125 boundary are the same since they are in contact. The locations are determined in three-dimensional space of the sites on the chamber wall where potentials are measured.

In the case of the balloon system as seen in FIG. 3, the array boundary and the chamber wall 125

boundary are different. During step 65, locations are generated in three-dimensional space of the sites on the chamber wall where potentials are to be determined.

At step 66, the potentials are projected on to the sites on the chamber wall specified in step 65. In the case of a basket system as seen in FIG. 4, the measured potentials are assigned to these sites.

In case of a balloon system as seen in FIG. 3, a three dimensional technique such as those typically used in field theory is used to generate a representation of the three dimensional field gradients in the blood volume of the heart chamber. Two examples of appropriate techniques are a spherical harmonics solution to Laplace's equation, and boundary element analysis. A more detailed description of spherical harmonics is given in the parent disclosure which is incorporated by reference herein.

For the boundary element method in the mapping system of the invention, the voltage is measured at the passive electrodes 48 on the probe or balloon catheter 94. From the voltage at the electrodes on the probe and the knowledge that the probe is nonconducting, the voltage and normal current at a previously selected set of nodes on the endocardial surface 125 are determined by the boundary element method in the following manner.

It is known that the voltage in the blood pool between the probe and the endocardium satisfies Laplace's



equation that states that the net current flow across any specific boundary is zero. To find the voltage and/or normal current on the endocardium, one must find the solution of Laplace's equation in the blood pool and  
5 calculate the values of this solution on the endocardium. Standard finite element and finite difference methods can be used to find the solution to Laplace's equation, but they have large computational overhead for generating and keeping track of a three-dimensional grid in the whole  
10 blood pool. In the mapping system of the invention, Laplace's equation is solved by the boundary element method, a specialized finite element method that permits one to restrict the calculations to the two-dimensional probe and endocardial surfaces (and not have to deal with  
15 calculations over the blood pool between these two surfaces). In order to create an accurate map of the endocardial voltage and/or normal current based on the voltage information from a limited number of electrodes on the probe, the system uses a higher-order version of the  
20 boundary element method. This system currently uses bicubic splines to represent the probe and endocardial surfaces and bilinear elements and bicubic splines to represent the voltage and the normal current on these surfaces.

25           The boundary element method consists of creating and solving a set of linear equations for the voltage and

the normal current on the endocardium based on the voltage measurements at the electrodes on the probe. Each of the elements in the matrices that are involved in this set consists of two-dimensional integrals, which are calculated  
5 by numerical and analytical integration.

Using Laplace's equation with data given on the probe is a so-called "ill-posed" problem. For such problems, all solution procedures, including the boundary element method, are ill conditioned, that is, small errors  
10 in the measured voltage on the probe surface can result in large errors in the calculated voltage and/or normal current on the endocardium. To minimize the errors on the endocardium, options for regularization or constraints have been included in the software code. For example: the user  
15 can choose parameters that cause the code to add equations for known or expected values of the voltage and/or normal current on the endocardium. This capability is often but not exclusively used to add equations that take into account the voltage and/or normal current of the map of the  
20 previous instant(s) in time (the previous "frame(s)"). This process uses historical data from the previous frame to constrain the values subsequently computed.

The solution of the set of the boundary element equations and regularizing equations (if any) is normally  
25 accomplished by singular value decomposition but there is an option to solve the linear system by decomposition

(Gaussian elimination) or direct or inherent methods. When singular value decomposition is used, there is an option to turn off the influence of high-frequency errors (that is, do a type of regularization) by setting various small  
5 singular values to zero, the result of which can be an increase in the accuracy of the calculated voltage and normal current on the endocardium.

In block 67, a large number of points are calculated on the three-dimensional chamber surface 125.  
10 In the case of a basket catheter as seen in FIG. 4, this is done through interpolation using bilinear or bicubic splines. In the case of a balloon catheter as seen in FIG. 3, this can be done either by using the model, such as the boundary element method or spherical harmonics to generate  
15 more points. Alternatively, bilinear or bicubic splines can be used to interpolate between a smaller number of points.

In block 69 a representation of the electrical potentials on the surface 125 are used to display the  
20 patterns. These types of displays include color maps, maps of iso-potential lines, maps of potential gradient lines and others. The electro-physiologic information is reconstructed on the dynamic wall surface 125. In general the measured electrical activity is positioned by the WSGP  
25 at the exact location which gives rise to the activity. The high resolution of the system creates an enormous

amount of information to display. Several techniques may be used to display this information to the physician. For example the electrogram data can be shown in false color gray-scale on a two dimensional wall surface representation. In this instance areas of equal potential areas are shown in the same color. Also a vectorized display of data can be shown on a wire grid as shown in FIG. 11 where the distance between any two dots typified by dot pair 91 and 93 represent a fixed potential difference. The more active electrical areas show clusters of dots. In a dynamic display the dot movement highlights areas of greater electrical activity. In FIG. 12 gradient lines typified by line 135 represent the change in potential over the chamber wall surface. Those areas with the largest change per unit area have the longest gradient lines oriented in the direction of steepest change. In FIG. 13 iso-potential lines typified by line 95 represent equal electrical potential. In this representation the closeness of lines represents more active electrical areas.

20

#### SITE ELECTROGRAM GENERATION PROCESS

FIG. 14 is a flow chart of the site electrogram generation process (SEGP). This process is used to extract and display a time series representation of the electrical activity at a physician selected site. FIG. 13 shows a site 97 that has been selected and a time series

electrogram 99 is shown on the display device 36 along with the dynamic wall representation. Returning to FIG. 14 this process begins at block 76 when a catheter with an array with both passive measurement electrodes 48 and active electrodes 52 is placed in a heart chamber and deployed. The process enters a loop at 78. The inputs to the method include the wall locations from block 37. Then the wall electrogram generator 35 provides the electrical potentials on this surface at 79. The user will use the display 36 to determine a location of interest in block 33 which will then be marked on the display device 36 at step 81. The voltage from this location will be collected at block 83. This voltage will be plotted in a wave-form representation 99 in block 31. The loop continues at this point at a rate sufficient to display all of the frequencies of such a time series electrogram 99, at least 300 points per second.

The false color and vectorized display images may direct the physician to specific sites on the endocardial surface for further exploration. The system may allow the physician to "zoom" in on an area to show the electrical activity in greater detail. Also the physician may select a site on the endocardial wall 125 and display a traditional time series electrogram 99 originating at that site.

## MOVABLE ELECTRODE LOCATION PROCESS

FIG. 15 is a flow-chart of the movable electrode location process (MELP). It begins at block 11 when a catheter with an array of passive measurement electrodes 48 and active electrodes 52 is placed in a heart 16 chamber and deployed. At block 13 a second catheter 18 with at least one electrode is introduced into the same chamber. The process enters a loop at block 15 where the signal generator 54 generates a carrier current between the movable location electrode 68 and an active electrode 52. At block 17 the high pass section 56 of signal conditioner 50, using the frequency and timing information of the location signal from block 29, produces measured voltages from the passive measurement electrodes 48. At block 19 the information from block 27 is used to determine the location of the electrode 68 where the location current is generated. This information includes the strength of the generated location current, the impedances of blood and tissue, the location of the active electrode 52 in use and the location of all the passive measurement electrodes 48. One method for using this information would entail performing a three dimensional triangulation of the point source location signal using four orthogonal passive electrode 48 sites. The implementation of step 19 is the same both for the case of a basket system as seen in FIG. 3 and for the case of a balloon system as seen in FIG. 4. In



this preferred implementation, two data sets are acquired closely spaced in time such that they are effectively instantaneous relative to the speed of cardiac mechanical activity. Alternatively, the data sets could be acquired simultaneously, by driving signals at two different frequencies, and separating them electronically by well known filtering means.

The first data set is acquired by driving the current carrier from the location electrode 68 to a first sink or active electrode as typified by electrode 98. This electrode is at a known location on the body of the monitoring catheter 14 relative to the array of passive electrodes 48. The location of this first sink electrode is ideally displaced distally from the centroid 127 of the array of electrodes by at least 25 millimeters. A second data set is then acquired by driving the current from the location electrode 68 to a second active electrode 92, located ideally at least 25 millimeters proximally from the centroid 127 of the array of electrodes.

The location algorithm is performed by minimizing the following equation:

$$\sum_{i=1}^n \left( \frac{k}{\left( \vec{R}_i - \vec{R}_L \right)^{0.5}} - V_{pi_1} - b_1 - \frac{k}{\left( \vec{R}_i - \vec{R}_{S_1} \right)^{0.5}} \right)^2 + \left( \frac{k}{\left( \vec{R}_i - \vec{R}_L \right)^{0.5}} - V_{pi_2} - b_2 - \frac{k}{\left( \vec{R}_i - \vec{R}_{S_2} \right)^{0.5}} \right)^2$$

Where  $n$  is the number of array electrodes, where  $k$ ,  $b_1$

and  $b_2$  are fitting parameters,  $V_{pi}$  are the potentials measured from each  $i^{\text{th}}$  electrode 72,  $R_i$  is a vector from the origin (centroid of the array of electrodes 96) to the  $i^{\text{th}}$  probe electrode 72,  $R_L$  is the "location vector",  
5 or three dimensional location to be solved for in the minimization, and  $R_{s1}$ ,  $R_{s2}$  are the location vectors of the active sink electrodes (eg. 92 and 98) which are known at locations on the axis of the array of passive electrodes 48.

10 Additional data sets could be incorporated, following the same logic as above. Each additional squared parentetical term requires the probe data set  $V_{pi}$ , another 'b' fitting term, and the particular active sink electrode 52 vector  $R_s$  used during the acquisition  
15 of that data set. If the sink electrode 52 is far enough away, for example using a right leg patch electrode, the fourth term in the squared expression for that data set may be deleted as  $R_s$  becomes very large.

It is also noted that the method does not  
20 **require** two data sets. The first squared expression in the above expression (requiring only data set  $V_{pi1}$ ) may be sufficiently accurate.

The non-linear least squares minimization may be performed on the above summation by any of several  
25 well-known methods. The Levenberg-Marquardt method has

been used in practice to accomplish this with efficient and robust results. Nominal values for  $k$  and  $b$  are 70 and 0 respectively, when normalizing the potential values obtained as if the current source were 1 ampere.

5 The number of parameters in the minimization for the above expression are six:  $k$ ,  $b_1$ ,  $b_2$ , and the  $x$ ,  $y$ , and  $z$  coordinates of vector  $R_t$  (assuming a cartesian coordinate system with origin at the center of the array of electrodes 96).

10 At step 21 a model of the heart 16 chamber wall is generated from the information provided from the WSGP 25. Such a model can be represented on a display 36 in a manner typified in FIG. 6. Once this surface is rendered, within this surface a second figure  
15 representing the distal end of the monitoring catheter 14 can be presented. In this way, the full three dimensional geometry of the chamber and the array catheter can be presented.

In step 23 this geometry is updated repeatedly  
20 to provide a dynamic view of the chamber, the monitoring catheter 18, along with a representation of the distal end 24 of the therapy catheter 18. If this is then combined with the electrical potentials generated by the WEGP, the therapy catheter can be moved to an electrical  
25 site of interest represented by a point in three

dimensional space.

### CALIBRATION PROCESS

Calibration of the system to insure that  
5 physical dimensions are accurately scaled is not a  
necessity for use of the system in a diagnostic or  
therapeutic setting. However, the availability of heart  
geometry in real time can permit various hemodynamic  
measurements to be made and displayed to the physician  
10 as well. These measurements include systolic time  
intervals, stroke volume and cardiac output.  
Calibration, where desired, requires at least two  
electrodes 60 and 62 a known distance apart placed along  
the inner-surface of the heart chamber 16, as shown in  
15 FIG. 3. In general the two electrode sites will each be  
coupled to the location signal generator 54. The MELP  
of FIG. 15 can be calibrated by scaling the calculations  
50 the distance between computed locations match the  
known distance apart of the two electrodes 60 and 62.  
20 Since the electrodes 60 and 62 are positioned on the  
chamber wall 125, the WSGP of FIG. 5 can be calibrated  
by scaling the distance measured by the WSGP in the  
direction of electrodes 60 and 62 to the calibrated  
distances measured by MELP. Finally, since the  
25 electrodes are contacting the chamber wall and providing

electrograms, the WEGP of FIG. 10 and SEGP of FIG. 14 can be calibrated to those measurements by computing the voltages at the same locations on the chamber wall 125 where electrodes 60 and 62 are located. These computed  
5 voltages can then be scaled to match the physically measured voltages from electrodes 60 and 62.

#### THERAPY CATHETER

FIG. 16 is a schematic diagram of the therapy  
10 catheter system. The therapy catheter 18 has both a distal end 24 and a proximal end 26. A handle 163 is on the proximal end 26 which allows the user to manipulate the distal end 24 and position it in the heart 16. Referring to FIG. 1, this handle also permits the  
15 therapy catheter 18 to connect to the interface system 28 of the electrophysiologic apparatus 10 through the cable 32. The location current is generated by the signal generator 54 through the switch 59 and  
subsequently through the wire 177 of cable 32 which is  
20 connected directly to the locator electrode 68. The therapy catheter system also includes a therapy generator 38 which is connected to the therapy catheter handle 163 via therapy supply line 161. The therapy  
supply line 161 extends through the handle 163, through  
25 the catheter body 64, to the therapy deployment

apparatus 60 at the distal end 24 of the catheter. The locator electrode 68 is in close proximity to the therapy deployment apparatus 60 in order to determine its location within the heart 16.

5        FIG. 17 shows an embodiment of the therapy catheter 18 using laser energy to supply the therapy. This laser catheter 165 includes the location wire 177 which connects the interface system 28 to the locator electrode 68 at the catheter's distal end 24. In this  
10 instance the therapy supply line 161 is a fiber optic cable 167 and the therapy deployment apparatus 60 is a fiber optic terminator 169 which directs the laser energy to the site of therapy delivery.

FIG. 18 shows an embodiment of the therapy  
15 catheter 18 using microwave energy to supply the therapy. This microwave catheter 171 includes the location wire 177 which connects the interface system 28 to the locator electrode 68 at the catheter's distal end 24. In this instance the therapy supply line 161 is a  
20 microwave wave guide 173 and the therapy deployment apparatus 60 is a microwave emitter 175 which directs the microwave energy to the site of therapy delivery.

FIG. 19 shows an embodiment of the therapy catheter 18 using a chemical to supply the therapy.  
25 This chemical deliver catheter 181 includes the location

wire 177 which connects the interface system 28 to the  
locator electrode 68 at the catheter's distal end 24.  
In this instance the therapy supply line 161 is a  
chemical filled lumen 183. This lumen extends to the  
5 distal end 24 of the chemical delivery catheter 181  
where a needle 185 is used to infuse the chemical into  
the heart chamber wall 125. During introduction of the  
chemical delivery catheter 181 into the heart chamber  
the needle 185 is withdrawn into the catheter body  
10 through withdrawal action 187. Once the location of the  
distal end 24 is determined to be at the site of  
interest the chemical delivery needle 185 can be  
deployed through the reverse of withdrawal action 187.  
Potential chemicals to be used in the therapeutic  
15 delivery process include formaldehyde and alcohol.

Each of the therapy catheters 18 shown in FIG. 17  
through FIG. 19 as well as the radio frequency catheter  
shown in FIG. 2 can be miniaturized and inserted into  
the coronary arterial tree. The location signal  
20 generated at locator electrode 68 can still be sensed by  
the passive electrodes 48 even though the signal is  
coming from the epicardium of the heart 16 rather than  
from within the heart chamber. Thus the movable  
electrode location process of FIG. 15 can be used in  
25 this instance to help determine the location of the



distal end 24 of the therapy catheter 18 in the coronary  
arterial tree and whether it is close to a site of  
abnormal electrical activity. Assuming that a site of  
ischemia will commonly be a site of abnormal electrical  
5 activity, the MELP will also enable more rapid location  
of potential sites for angioplasty.

FIG. 20 shows an embodiment of the therapy  
catheter 18 using balloon inflation to supply the  
therapy. This angioplasty catheter 191 includes the  
10 location wire 177 which connects the interface system 28  
to the locator electrode 68 at the catheter's distal end  
24. In this instance the therapy supply line 161 is an  
inflation media supply lumen 193 and the therapy  
deployment apparatus 60 is an angioplasty balloon 195.  
15 In use, a site of interest would be determined after  
viewing the wall electrogram generated by the WEGP of  
FIG. 10. Next the angioplasty therapy catheter 191  
would be positioned in the coronary arterial tree and  
its position determined relative to the site of  
20 interest. Next, when the distal end 24 of the  
angioplasty catheter 191 was at the proper location the  
balloon 195 would be deployed to open the artery.  
Finally, the electrical activity of the site would be  
reviewed to determine whether the underlying tissue 125  
25 was now receiving a proper blood supply and thus was no

Table 1.1.1	
Parameter	Value
$\alpha$	0.5
$\beta$	0.5
$\gamma$	0.5
$\delta$	0.5
$\epsilon$	0.5
$\zeta$	0.5
$\eta$	0.5
$\theta$	0.5
$\iota$	0.5
$\kappa$	0.5
$\lambda$	0.5
$\mu$	0.5
$\nu$	0.5
$\xi$	0.5
$\omicron$	0.5
$\pi$	0.5
$\rho$	0.5
$\sigma$	0.5
$\tau$	0.5
$\upsilon$	0.5
$\phi$	0.5
$\chi$	0.5
$\psi$	0.5
$\omega$	0.5
$\delta$	0.5
$\epsilon$	0.5
$\zeta$	0.5
$\eta$	0.5
$\theta$	0.5
$\iota$	0.5
$\kappa$	0.5
$\lambda$	0.5
$\mu$	0.5
$\nu$	0.5
$\xi$	0.5
$\omicron$	0.5
$\pi$	0.5
$\rho$	0.5
$\sigma$	0.5
$\tau$	0.5
$\upsilon$	0.5
$\phi$	0.5
$\chi$	0.5
$\psi$	0.5
$\omega$	0.5
$\delta$	0.5
$\epsilon$	0.5
$\zeta$	0.5
$\eta$	0.5
$\theta$	0.5
$\iota$	0.5
$\kappa$	0.5
$\lambda$	0.5
$\mu$	0.5
$\nu$	0.5
$\xi$	0.5
$\omicron$	0.5
$\pi$	0.5
$\rho$	0.5
$\sigma$	0.5
$\tau$	0.5
$\upsilon$	0.5
$\phi$	0.5
$\chi$	0.5
$\psi$	0.5
$\omega$	0.5
$\delta$	0.5
$\epsilon$	0.5
$\zeta$	0.5
$\eta$	0.5
$\theta$	0.5
$\iota$	0.5
$\kappa$	0.5
$\lambda$	0.5
$\mu$	0.5
$\nu$	0.5
$\xi$	0.5
$\omicron$	0.5
$\pi$	0.5
$\rho$	0.5
$\sigma$	0.5
$\tau$	0.5
$\upsilon$	0.5
$\phi$	0.5
$\chi$	0.5
$\psi$	0.5
$\omega$	0.5
$\delta$	0.5
$\epsilon$	0.5
$\zeta$	0.5
$\eta$	0.5
$\theta$	0.5
$\iota$	0.5
$\kappa$	0.5
$\lambda$	0.5
$\mu$	0.5
$\nu$	0.5
$\xi$	0.5
$\omicron$	0.5
$\pi$	0.5
$\rho$	0.5
$\sigma$	0.5
$\tau$	0.5
$\upsilon$	0.5
$\phi$	0.5
$\chi$	0.5
$\psi$	0.5
$\omega$	0.5
$\delta$	0.5
$\epsilon$	0.5
$\zeta$	0.5
$\eta$	0.5
$\theta$	0.5
$\iota$	0.5
$\kappa$	0.5
$\lambda$	0.5
$\mu$	0.5
$\nu$	0.5
$\xi$	0.5
$\omicron$	0.5
$\pi$	0.5
$\rho$	0.5
$\sigma$	0.5
$\tau$	0.5
$\upsilon$	0.5
$\phi$	0.5
$\chi$	0.5
$\psi$	0.5
$\omega$	0.5
$\delta$	0.5
$\epsilon$	0.5
$\zeta$	0.5
$\eta$	0.5
$\theta$	0.5
$\iota$	0.5
$\kappa$	0.5
$\lambda$	0.5
$\mu$	0.5
$\nu$	0.5
$\xi$	0.5
$\omicron$	0.5
$\pi$	0.5
$\rho$	0.5
$\sigma$	0.5
$\tau$	0.5
$\upsilon$	0.5
$\phi$	0.5
$\chi$	0.5
$\psi$	

WHAT IS CLAIMED IS:

1. A system for displaying electrophysiology data from a patient's heart, said heart including a heart chamber, to a user, said system comprising:

5 a set of passive electrodes located within said heart;

a set of active electrodes located within said heart;

10 a pulse generator coupled to said set of active electrodes for creating and applying an electric field within said heart;

15 a signal digitizer coupled to said set of passive electrodes for generating a numerical representation of electric field strength at each of said set of passive electrodes, generating a set of measured potentials;

20 a signal conditioner for extracting from said measured potentials a map representation of the interior surface of said heart, and for extracting from said measured potentials a representation of said intrinsic electrical activity of said heart chamber;

display means for displaying said representation of said electrical activity on said map representation.

2. The system of claim 1 wherein said map  
25 representation is a dynamic representation reflecting

motion of said heart chamber over time.

3. The system of claim 1 wherein said map  
representation is a representation reflecting a static  
5 position of said heart chamber in time.

4. The system of claim 1 wherein said passive  
electrodes are located on a basket;  
said basket located on the distal end of a  
10 catheter;

said basket having a plurality of conformal  
fingers in engagement with said heart chamber.

5. The system of claim 4 wherein said active  
15 electrodes are located on said catheter proximate said  
passive electrodes.

6. The system of claim 1 wherein said passive  
electrodes are located proximate a balloon;  
20 said balloon located on the distal end of a  
catheter.

7. The system of claim 6 wherein said active  
electrodes are located on said catheter proximate said  
25 passive electrodes.

8. The system of claim 1 wherein said signal conditioner extracts said map representation from said intrinsic electrical activity of said heart from said measured potentials in the frequency domain by filtering  
5 said measured potentials.

9. A system for measuring electrophysiologic potentials within a heart and displaying endocardial electrophysiologic potentials to a user comprising:

10 a set of passive measurement electrodes located on a first catheter;

a set of active interrogation electrodes located on a first catheter;

15 a signal digitizer coupled to said set of passive measurement electrodes for generating a numerical representation of electric field potentials at each of said set of passive electrodes;

a pulse generator coupled to said active interrogation electrodes for generating an interrogation  
20 electric field at a first frequency;

a signal digitizer coupled to said passive measurement electrodes for converting electric field potentials at said set of passive measurement electrodes to a set of wall distance measurement values  
25 representing the perturbation of said interrogation

electric field by the walls of said heart;

said signal digitizer for converting  
electrophysiologic signals to a set of activity  
measurements representing the electrical activity of  
5 said heart;

convertor means for generating a graphic  
representation of an endocardial surface from said wall  
distance measures;

convertor means for generating a display of said  
10 activity measurements on said representation of said  
endocardial surface.

10. The system of claim 9 further including:

a set of locator electrodes located on a second  
15 catheter, said second catheter located in said heart  
chamber;

a pulse generator coupled to said locator  
electrodes for generating electric field;

a signal digitizer coupled to said passive  
20 measurement electrodes for converting electric field  
potentials at said set of passive measurement electrodes  
to a set of distance measurement values representing the  
location of said set of locator electrodes within said  
heart;

25 convertor means for generating a representation of the

position of said locator electrodes (on said representation of said endocardial surface) within said heart chamber.

5           11. The system of claim 10 wherein said convertor means generates a representation of the position of said locator electrodes on said representation of said endocardial surface.

10           12. A system for measuring, and displaying electrophysiologic potentials arising within a patient's heart, and for indicting the location of a catheter within a patient's heart comprising:

15           a set of passive electrodes positioned on a probe catheter within said heart;

            a set of active interrogation electrodes, positioned in a known relationship with respect to said passive electrodes;

20           a set of locator electrodes positioned on a movable therapy catheter;

            a therapy delivery mechanism positioned on said movable therapy catheter;

            an therapy pulse generator coupled to said  
25   interrogation electrodes for generating an interrogation electric field;



a locator pulse generator coupled to said set of locator electrodes for creating a locator electric field, indicative of the relative location of said catheter, with respect to said passive electrodes;

5        signal processor and digitizer coupled to said passive electrodes for converting interrogation field potentials at said set of passive electrodes to a set of distance measurement values representing the perturbation of said interrogation field by the walls of  
10    said heart;

      said signal processor and digitizer for converting electrophysiologic signals to a set of activity measurements representing the electrical activity of said heart;

15        said signal processor and digitizer for converting locator signals to a set of position measurements representing the location of said movable therapy catheter;

      convertor means for generating a graphic  
20    representation of an endocardial surface from said distance measures;

      convertor means for generating a display of said activity measurements on said representation of an endocardial surface;

25        convertor means for generating a display of said

locator electrode location with respect to said graphic representation within the chamber volume.

13. The device of claim 12 wherein said locator  
5 pulse generator and said interrogation pulse generator operates sequentially at different times.

14. The device of claim 12 wherein said locator  
pulse generator and said interrogation pulse generator  
10 operate simultaneously at different frequencies.

15. The device of claim 13 wherein said locator  
pulse generator and said interrogation pulse generator  
operate at frequencies which are integer multiples.  
15

16. The device of claim 14 wherein said locator  
pulse generator operates at forty eight hundred hertz.

17. The device of claim 14 where said  
20 interrogator pulse generator operates at twenty four hundred hertz.

18. A therapy catheter comprising:  
a lead body having a distal end and having a  
25 proximal end;

a locator electrode proximate said distal end;  
a set of therapy electrodes located proximate said  
distal end.

5           19. A therapy catheter comprising:

    a lead body having a distal end and having a  
proximal end;

    a locator electrode proximate said distal end;

    a drug delivery lumen located proximate said  
10 distal end.

    20. A therapy catheter comprising:

    a lead body having a distal end and having a  
proximal end;

15           a locator electrode proximate said distal end;

    a microwave wave guide coupled to said distal end  
for directing microwave energy to an ablation site.

    21. A therapy catheter comprising:

20           a lead body having a distal end and having a  
proximal end;

    a locator electrode proximate said distal end;

    a fiber optic cable coupled to said distal end for  
directing laser energy to an ablation site.

25

22. A therapy catheter comprising:  
a lead body having a distal end and having a proximal end;  
a locator electrode proximate said distal end;  
5 an angioplasty balloon coupled to said distal end for opening a stenotic lesion in a coronary vessel.

23. A system for measuring and displaying electrophysiologic signals originating in a patient's heart, to an observer, said system comprising:  
10 an active electrode set located within said patient's heart;  
a passive electrode set located within said patient's heart in a known physical relationship with  
15 said active electrode set, defining a set of passive electrode sites;  
an electric field generator coupled to said active electrode set for generating an oscillating electric field around said passive electrode sites;  
20 a signal conditioner coupled to said passive electrode set for extracting low frequency electrophysiologic measurements from said passive electrode sites, generating a electrophysiologic activity measurement data set, and for extracting  
25 geometric information from said oscillating electric

field as measured at said passive electrode sites;  
a wall surface representation generator for  
creating a pictorial representation of the interior wall  
of said patient's heart from said interrogation field  
5 measured at said passive electrode sites.

24. A system for measuring and displaying  
electrophysiologic signals originating in a patient's  
heart to an observer, said system comprising:  
10 an active electrode set located within said  
patient's heart;  
a passive electrode set located within said  
patient's heart in a known physical relationship with  
said active electrode set, defining a set of passive  
15 electrode sites;  
an electric field generator coupled to said active  
electrode set for generating an oscillating electric  
field around said passive electrode sites;  
a signal conditioner coupled to said passive  
20 electrode set for extracting low frequency  
electrophysiologic measurements from said passive  
electrode sites; generating a electrophysiologic  
activity measurement data set, and for extracting  
geometric information from said oscillating electric  
25 field as measured at said passive electrode sites;

wall electrogram generator for creating a display of electrophysiologic activity measurement data to said observer.

5           25. A system for measuring and displaying electrophysiologic signals originating in a patient's heart to an observer, said system comprising:

          an active electrode set located within said patient's heart;

10           a passive electrode set located within said patient's heart in a known physical relationship with said active electrode set, defining a set of passive electrode sites;

          an electric field generator coupled to said active  
15 electrode set for generating an oscillating electric field around said passive electrode sites;

          a signal conditioner coupled to said passive electrode set for extracting low frequency electrophysiologic measurements from said passive  
20 electrode sites, generating a electrophysiologic activity measurement data set, and for extracting geometric information from said oscillating electric field as measured at said passive electrode sites;

          site electrogram generator for creating a time  
25 series display of electrophysiologic data from a heart

wall location designated by said observer.

26. A process for measuring electrophysiologic data in a heart chamber comprising the steps of:

5 (a) positioning a set of passive electrodes within a patient's heart;

(b) positioning a set of active electrodes within a patient's heart;

10 (c) supplying oscillating current to said set of active electrodes thereby generating an electric field in said heart chamber;

(d) detecting said electric field at said passive electrode sites, generating a set of electric field measurement data;

15 (e) extracting in the frequency domain, from said field measurement data, that component of said field measurement data corresponding to chamber geometry and generating chamber geometry data;

20 (f) extracting in the frequency domain, from said field measurement data, that component of said field measurement data corresponding to the underlying intrinsic electrophysiologic activity of the heart chamber, and generating electrophysiology data;

25 (g) graphically displaying said chamber geometry data;



(h) graphically displaying said electrophysiologic data.

27. A process for measuring electrophysiologic data in a heart chamber comprising the steps of:
- (a) positioning a set of passive electrodes within patient's heart;
  - (b) positioning a set of active electrodes within a patient's heart;
  - (c) supplying oscillating current to said set of active electrodes thereby generating an electric field in said heart chamber;
  - (d) detecting said electric field at said passive electrode sites, generating a set of field measurement data;
  - (e) extracting in the time domain, from said field measurement data, that component of said field measurement data corresponding to the underlying electrophysiologic activity of the heart chamber, and generating electrophysiology data;
  - (f) graphically displaying said chamber geometry data;
  - (g) graphically displaying said electrophysiologic data.

25

28. A process for determining and displaying the location of a therapy catheter in a heart chamber comprising the steps of:

(a) positioning a set of passive electrodes  
5 within said heart chamber;

(b) positioning a set of active locator electrodes within said heart chamber, said locator electrodes being positioned on a therapy catheter;

(c) supplying oscillating current to said set of  
10 active locator electrodes thereby generating an electric field in said heart chamber;

(d) detecting said electric field at said passive electrode sites, generating field measurement data;

(e) extracting in the frequency domain, from said  
15 field measurement data, that component of said field measurement data corresponding to locator electrode location and generating location data;

(f) graphically displaying said location data.

# ABSTRACT

A mapping catheter is positioned in a heart chamber, and active electrode sites are activated to impose an electric field within the chamber. The blood volume and wall motion modulates the electric field, which is detected by passive electrode sites on the preferred catheter. Electrophysiology measurements, as well as geometry measurements, are taken from the passive electrodes and used to display a map of intrinsic heart activity.



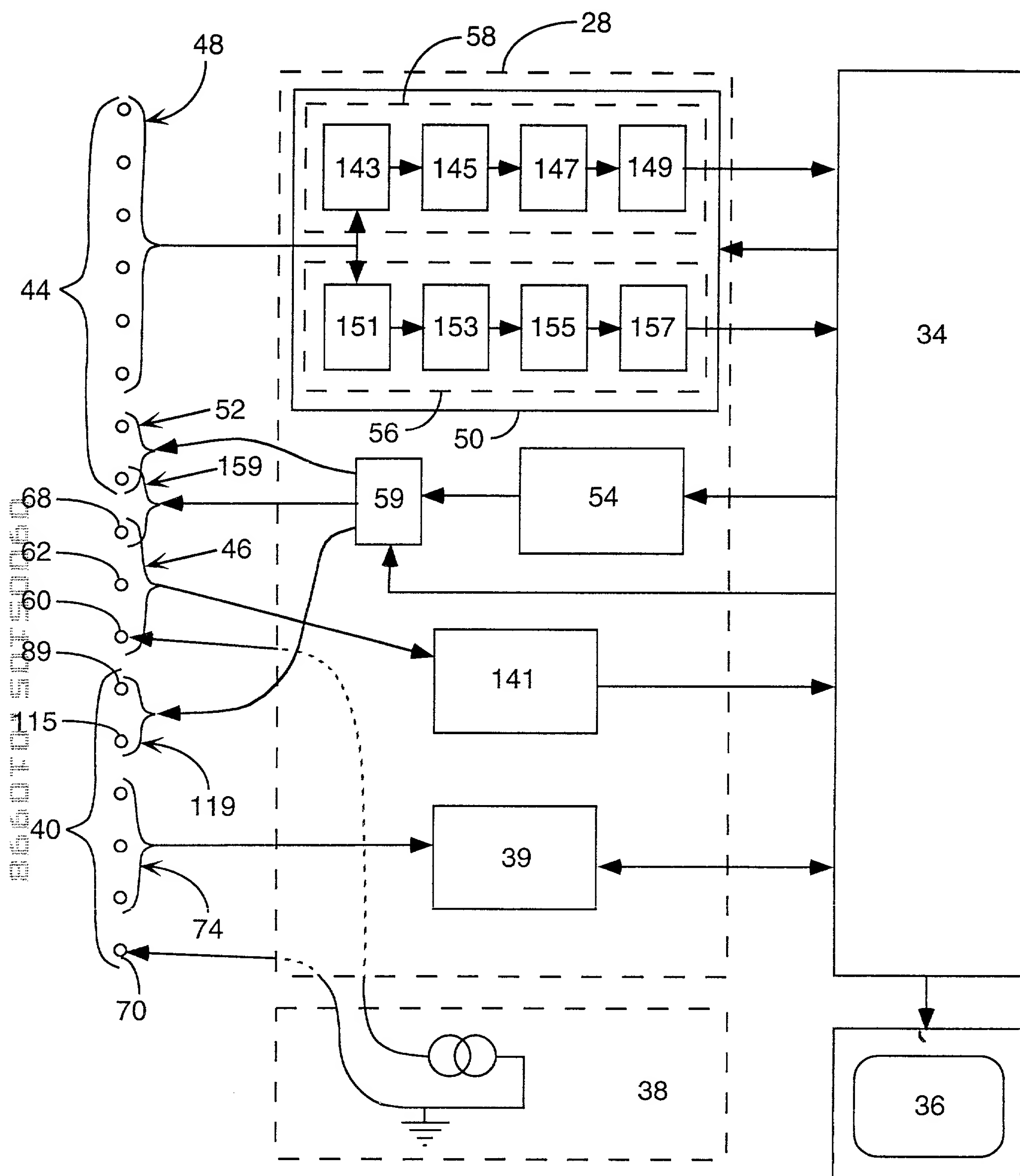


FIG. 2

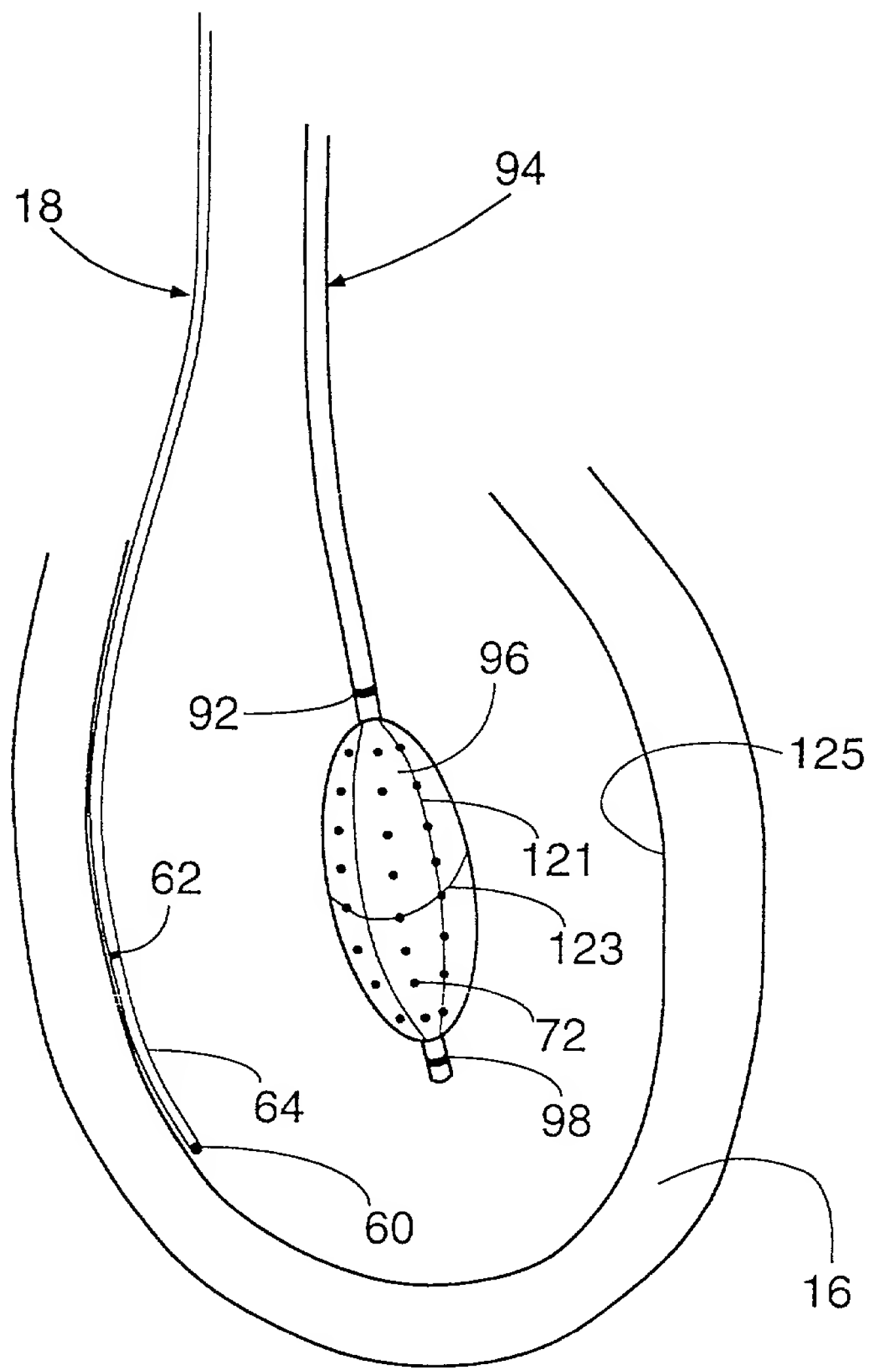


FIG. 3

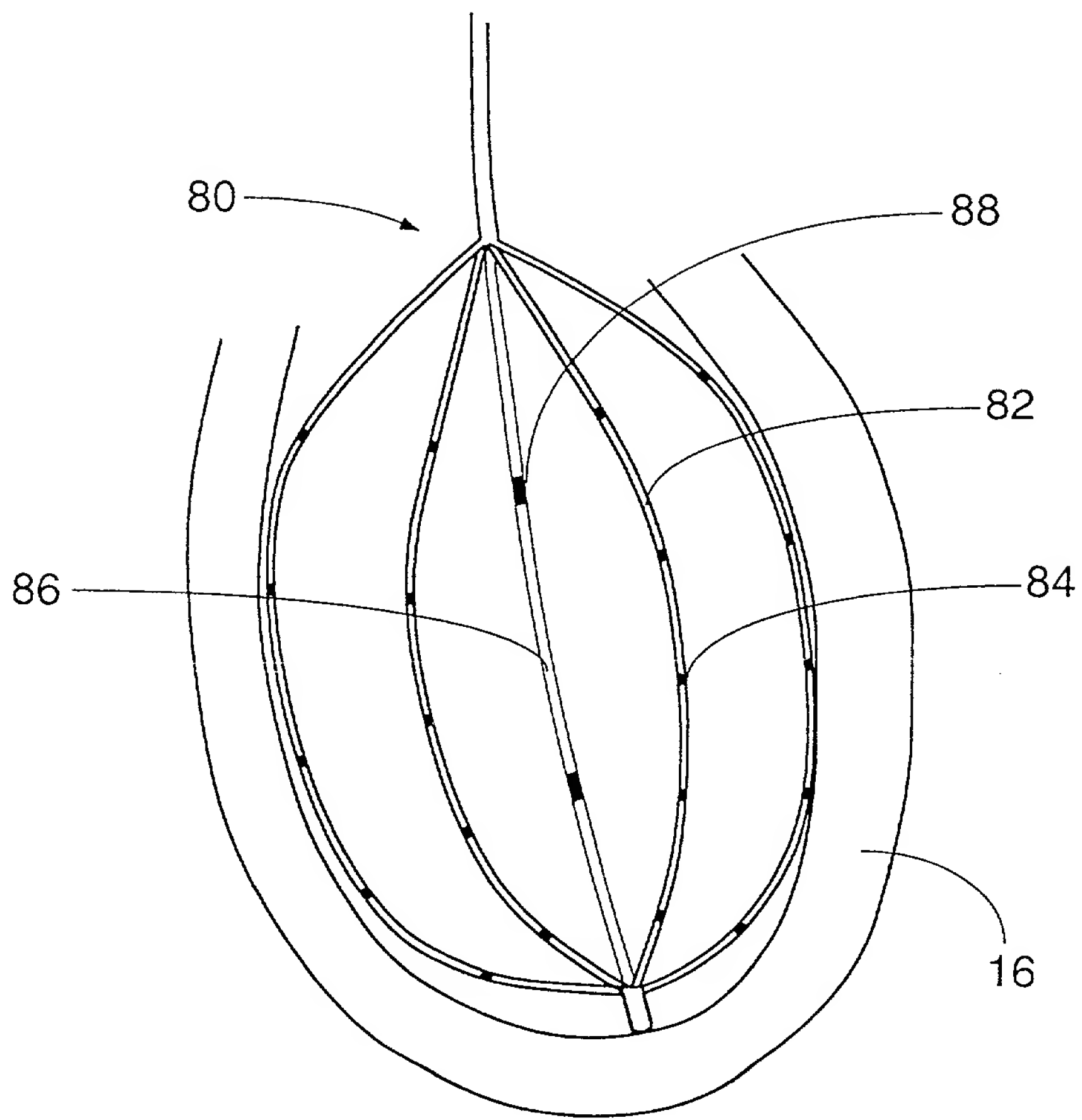


FIG. 4



Knowledge provided  
to the process

## Wall surface generation process

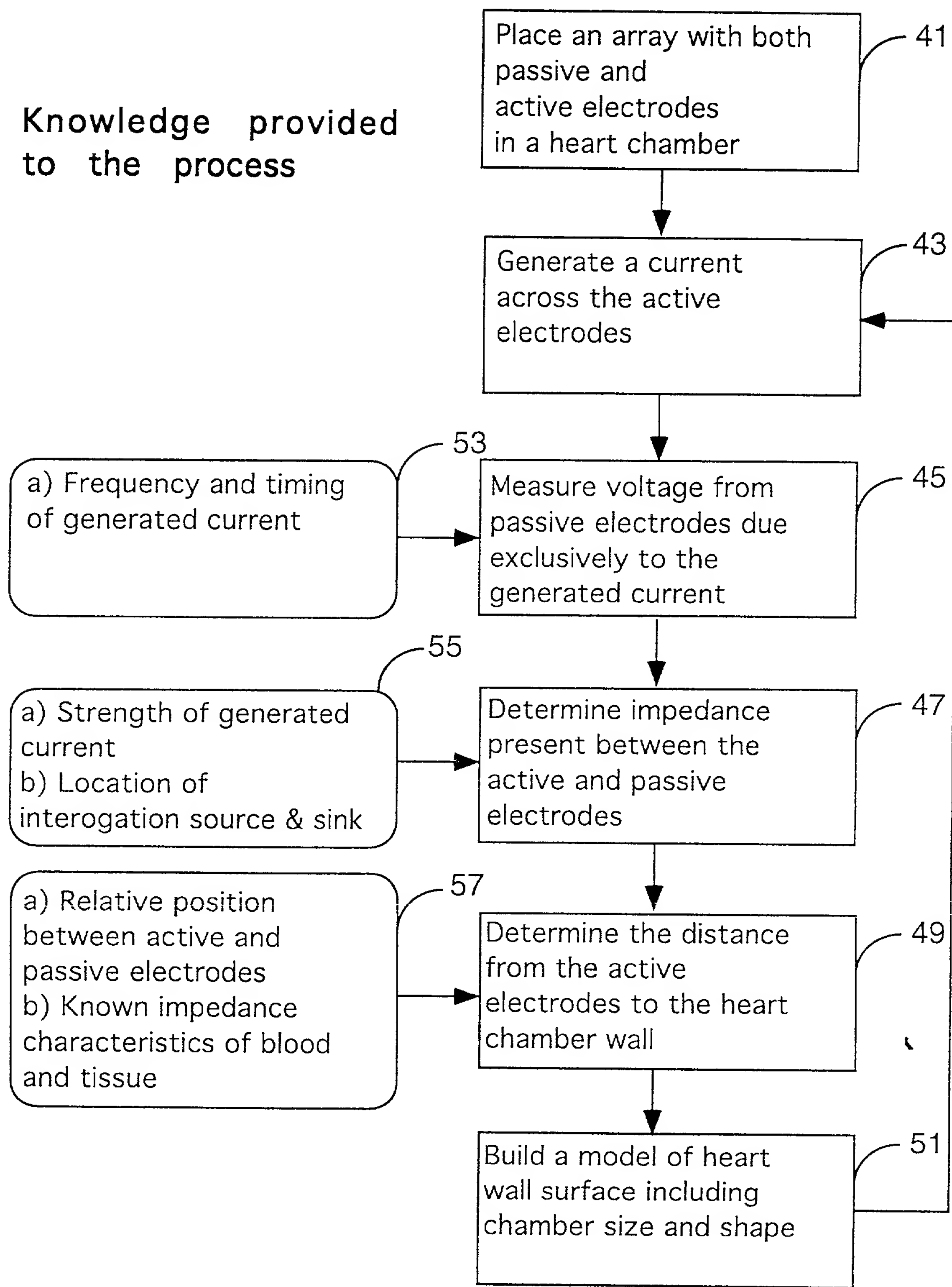


FIG. 5

A diagram of a circular structure, possibly a cross-section of a lens or a similar optical component. The structure is defined by a large outer circle (96) and a smaller inner circle (123). Eight radial lines with arrows at their ends extend from the center to the outer boundary. The lines are labeled as follows: 125 (top-left), 129 (top-right), 131 (right), 127 (bottom-right), 123 (bottom-left), and 125 (left). The label 123 is also used for the inner circle. The label 96 is used for the outer circle.

FIG. 6

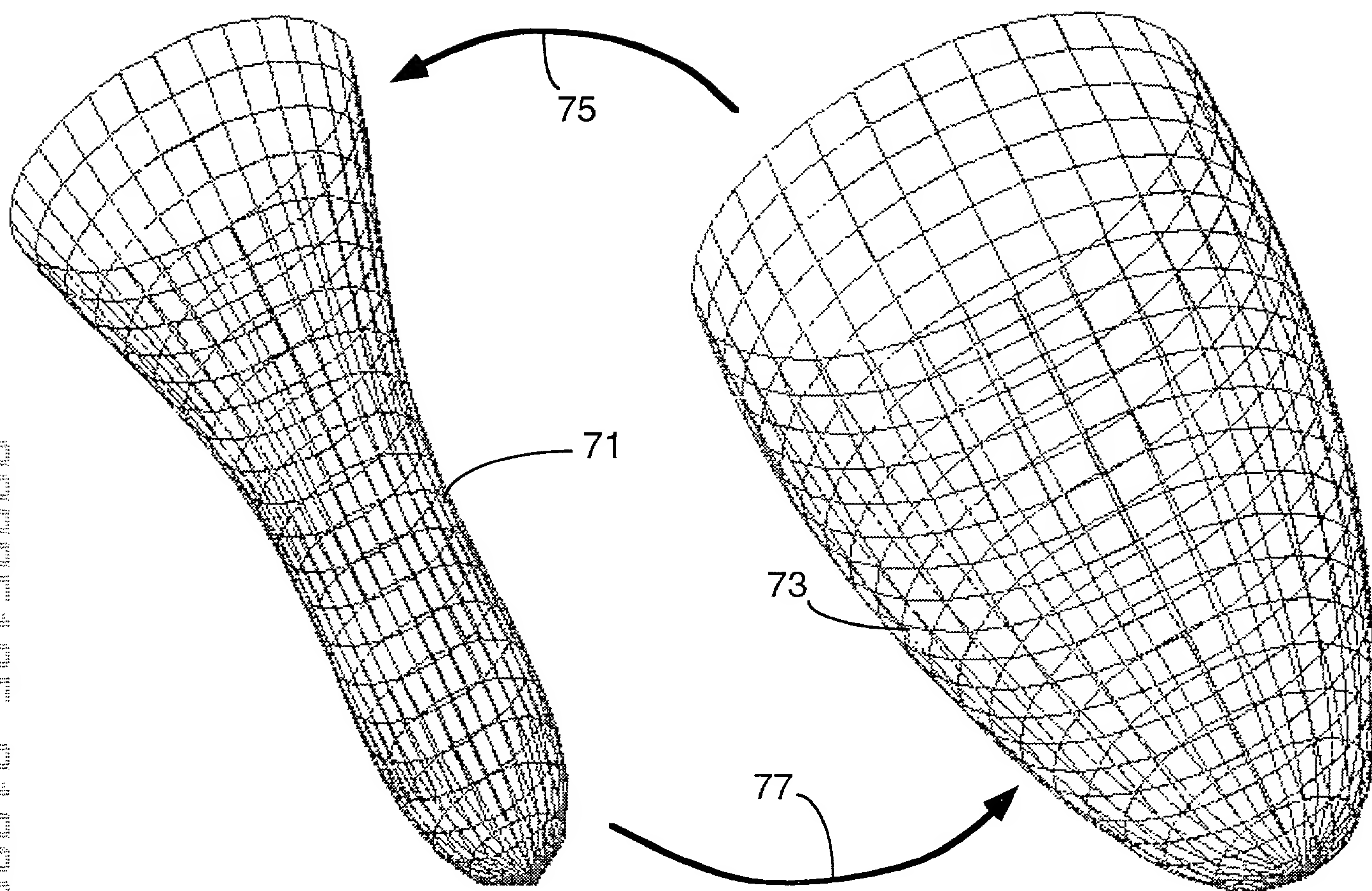


FIG. 7

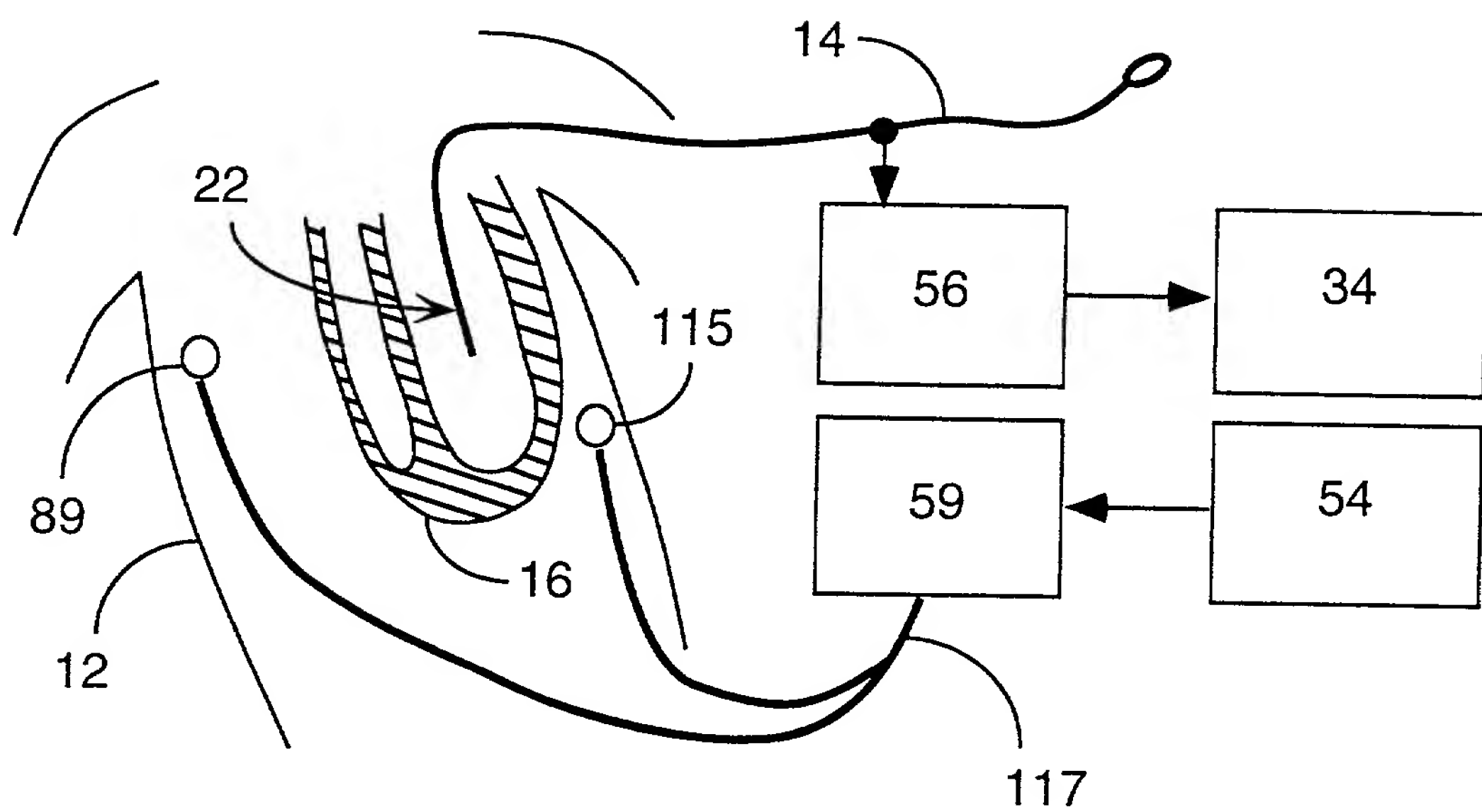


FIG. 8

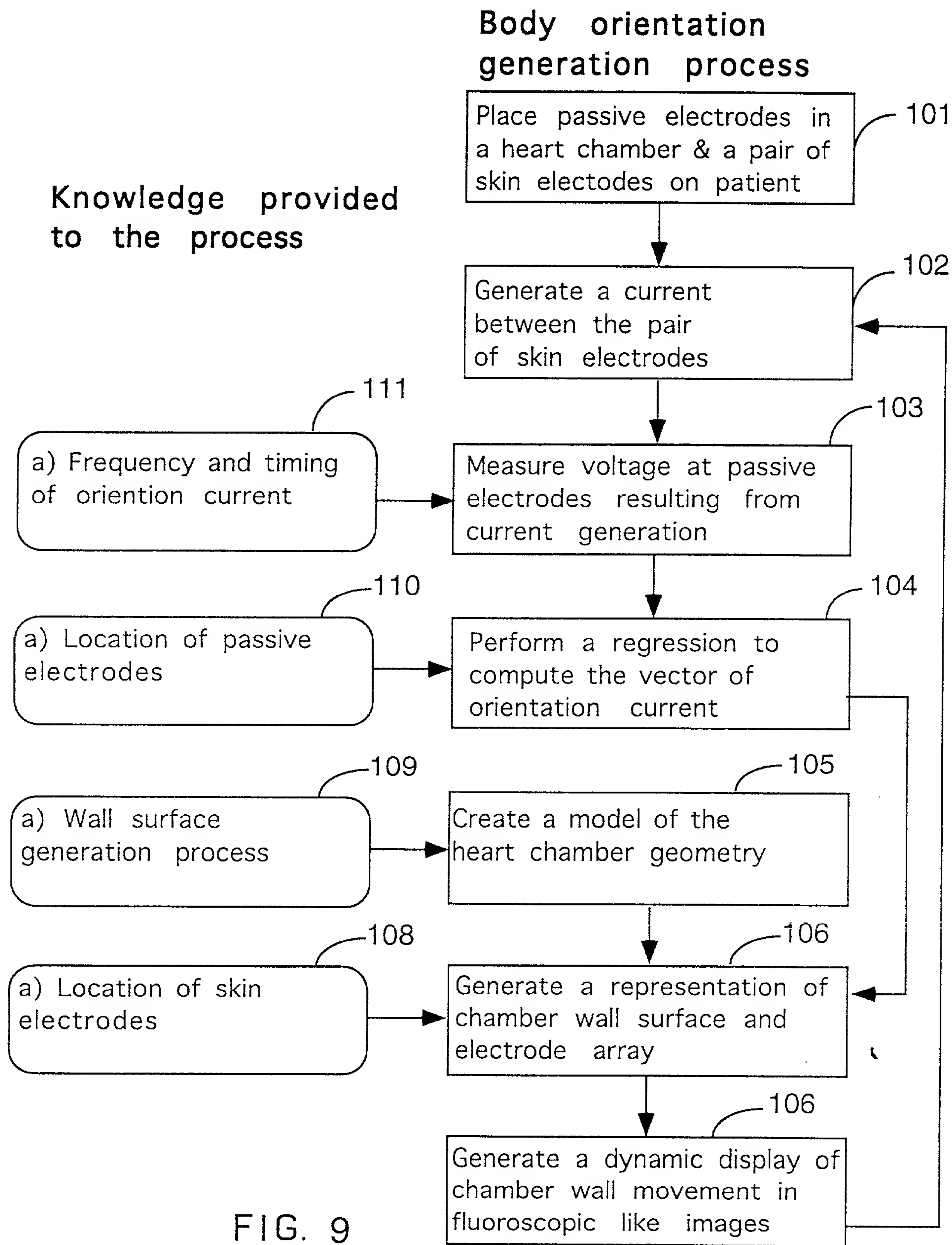
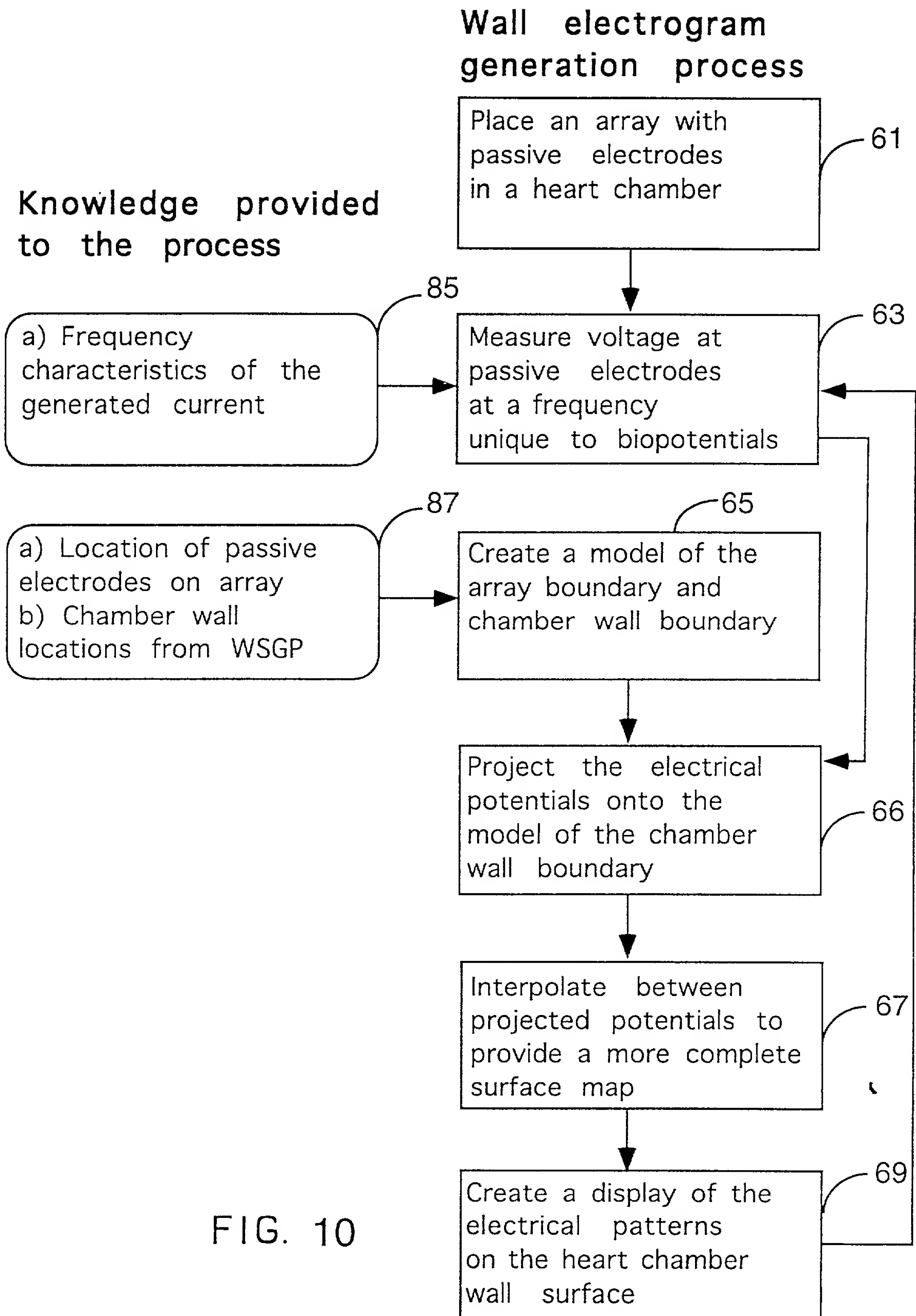


FIG. 9



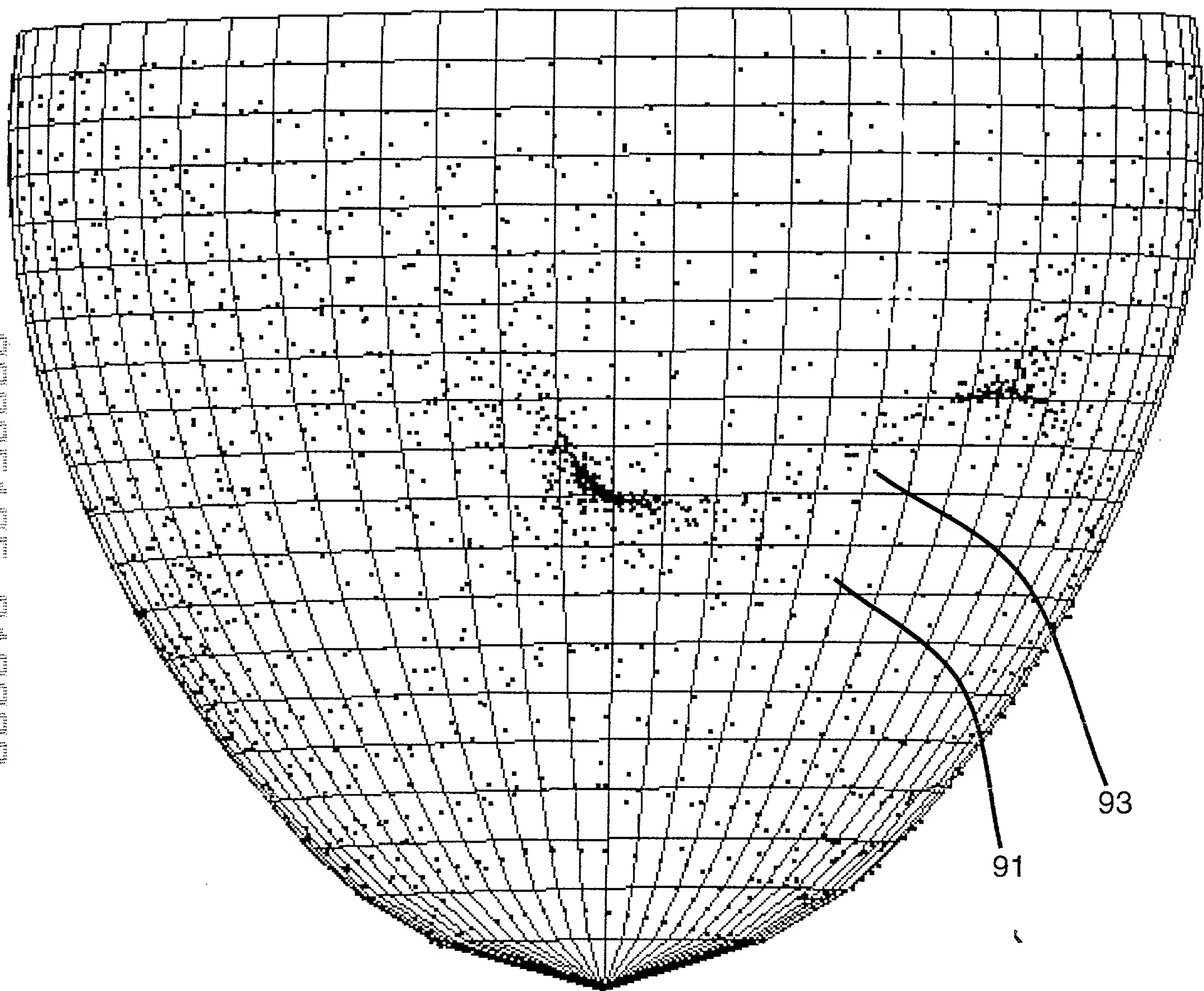


FIG. 11

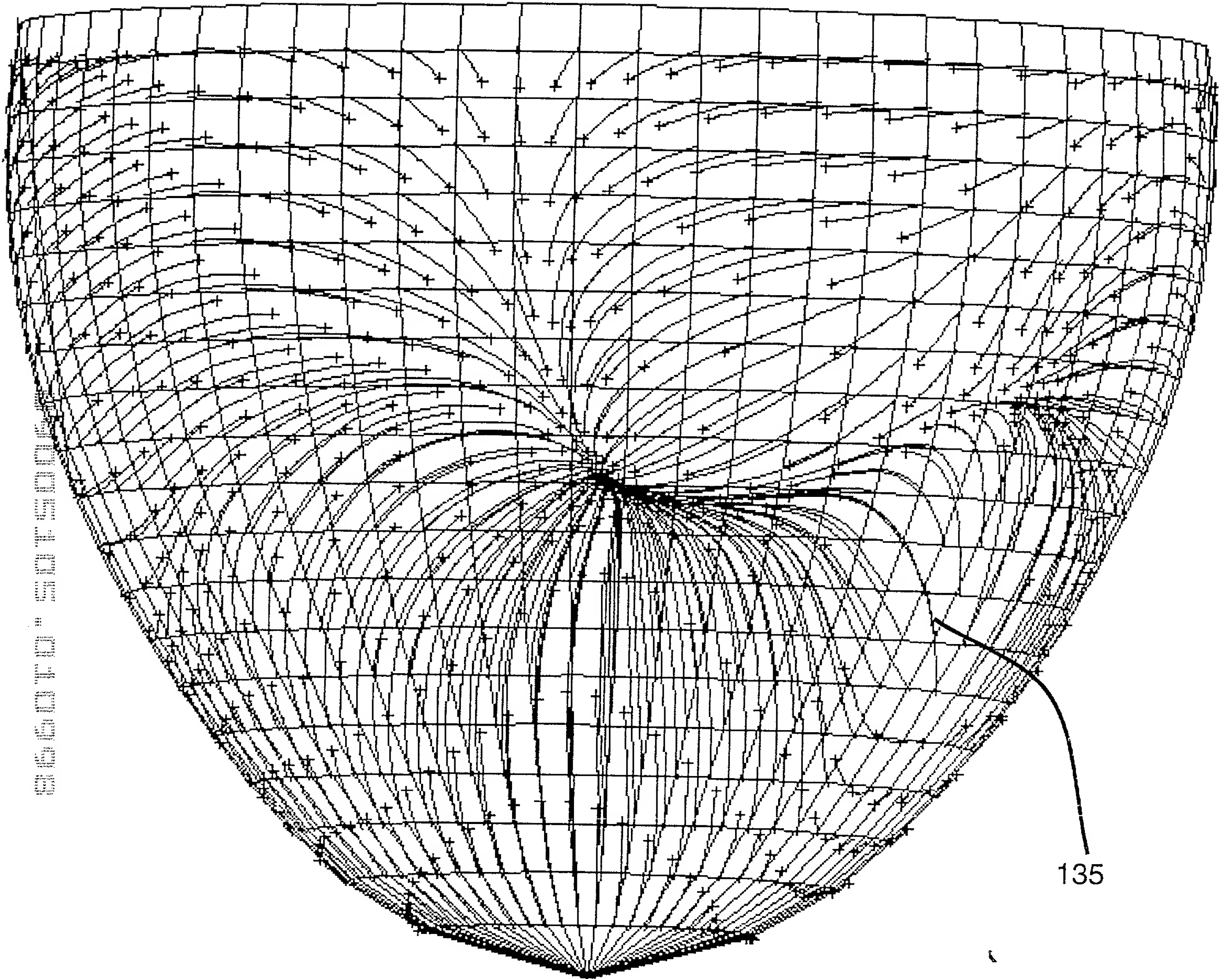


FIG. 12



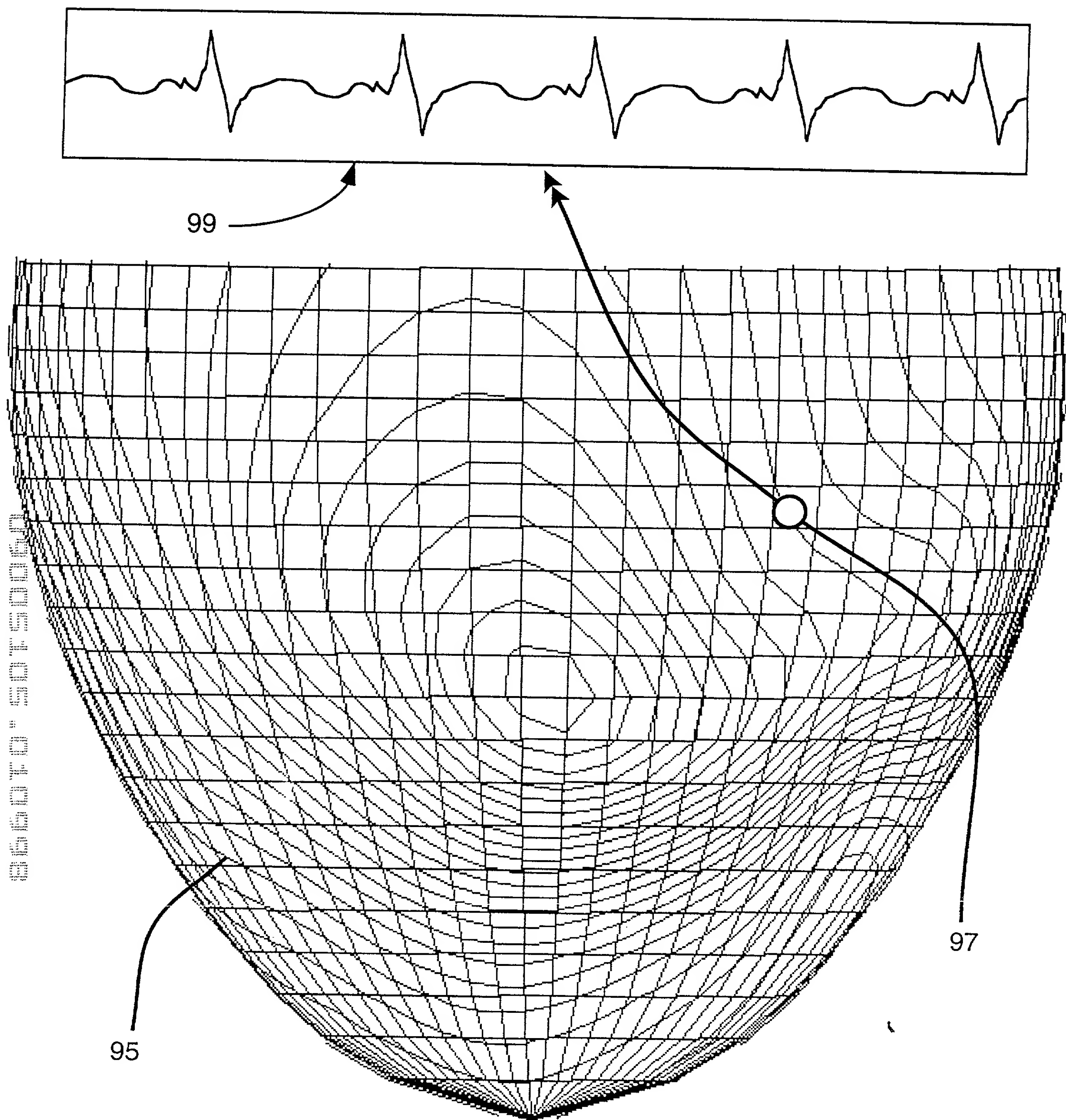


FIG. 13

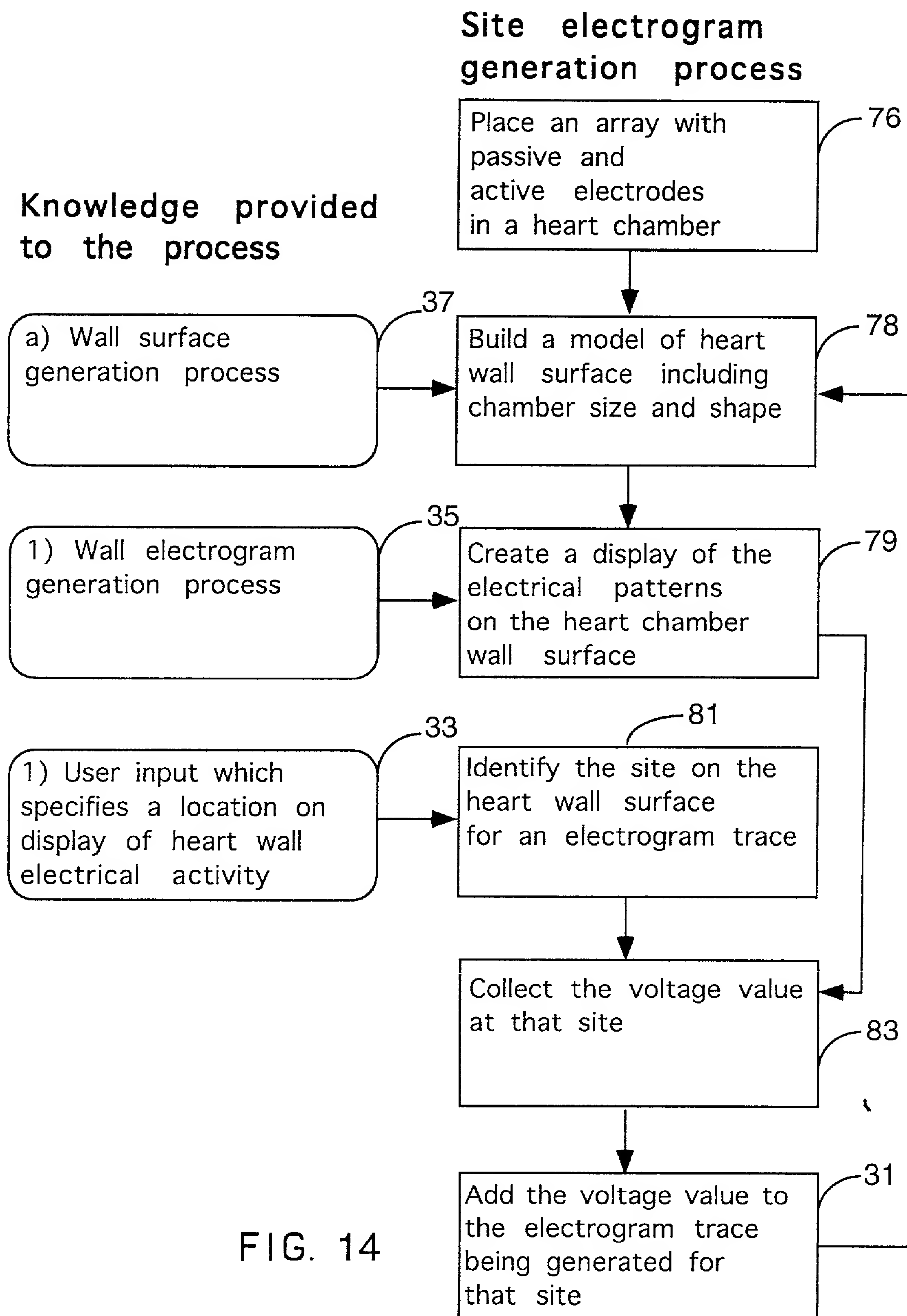
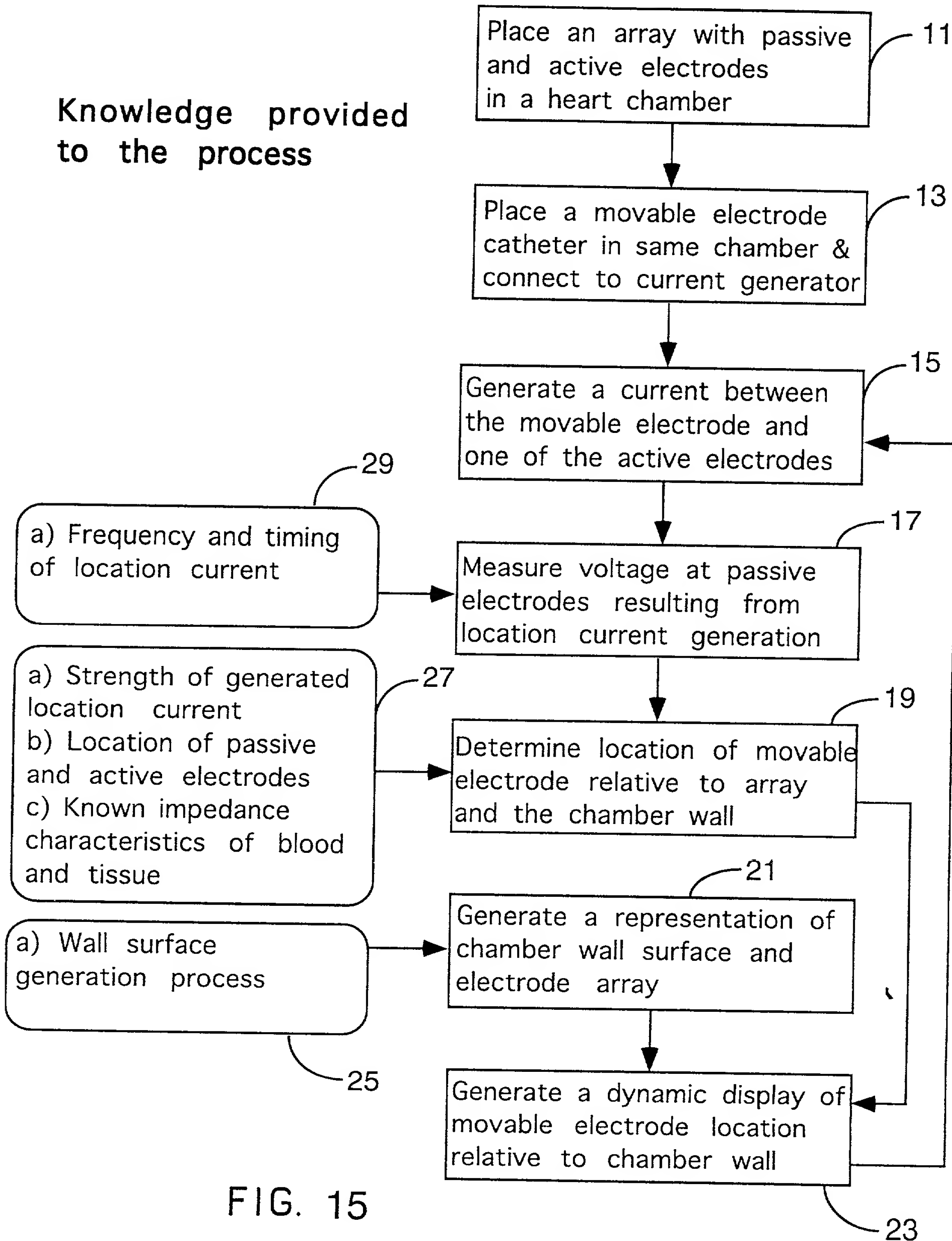


FIG. 14

Movable location	electrode process
<p>① ② ③ ④ ⑤ ⑥ ⑦ ⑧ ⑨ ⑩ ⑪ ⑫ ⑬ ⑭ ⑮ ⑯ ⑰ ⑱ ⑲ ⑳ ㉑ ㉒ ㉓ ㉔ ㉕ ㉖ ㉗ ㉘ ㉙ ㉚ ㉛ ㉜ ㉝ ㉞ ㉟ ㊱ ㊲ ㊳ ㊴ ㊵ ㊶ ㊷ ㊸ ㊹ ㊺ ㊻ ㊼ ㊽ ㊾ ㊿</p>	<p>① ② ③ ④ ⑤ ⑥ ⑦ ⑧ ⑨ ⑩ ⑪ ⑫ ⑬ ⑭ ⑮ ⑯ ⑰ ⑱ ⑲ ⑳ ㉑ ㉒ ㉓ ㉔ ㉕ ㉖ ㉗ ㉘ ㉙ ㉚ ㉛ ㉜ ㉝ ㉞ ㉟ ㊱ ㊲ ㊳ ㊴ ㊵ ㊶ ㊷ ㊸ ㊹ ㊺ ㊻ ㊼ ㊽ ㊾ ㊿</p>

## Knowledge provided to the process



Place an array with passive and active electrodes in a heart chamber

Place a movable electrode catheter in same chamber & connect to current generator

Generate a current between the movable electrode and one of the active electrodes

a) Frequency and timing of location current

Measure voltage at passive electrodes resulting from location current generation

- a) Strength of generated location current
- b) Location of passive and active electrodes
- c) Known impedance characteristics of blood and tissue

Determine location of movable electrode relative to array and the chamber wall

a) Wall surface generation process

Generate a representation of  
chamber wall surface and  
electrode array

Generate a dynamic display of movable electrode location relative to chamber wall

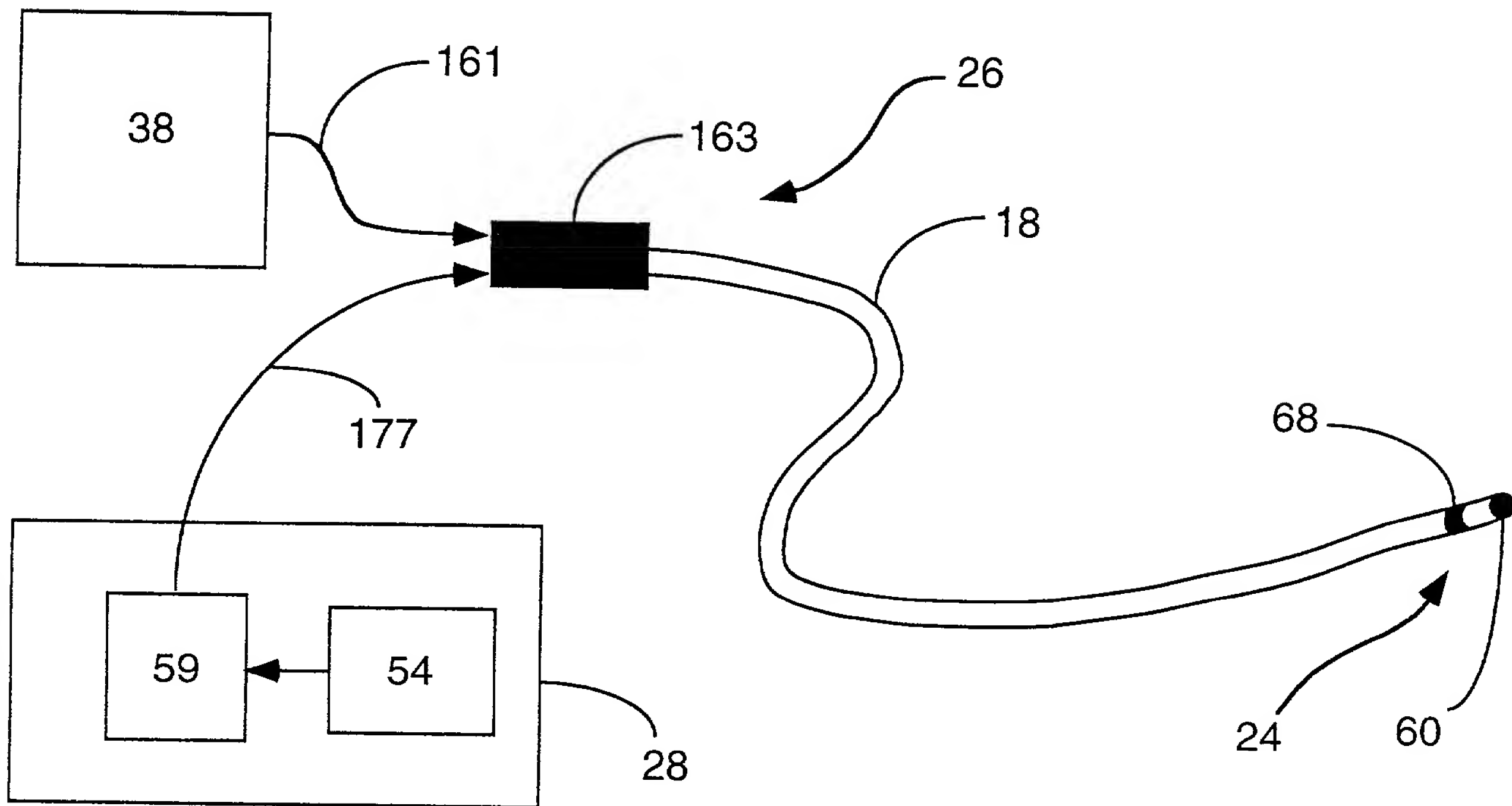


FIG. 16

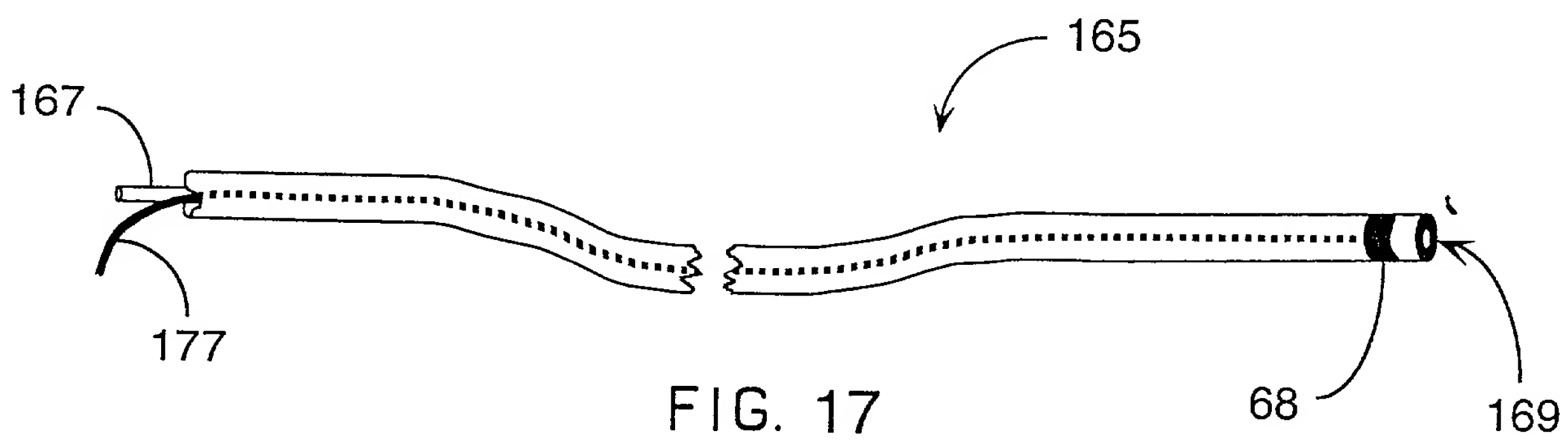
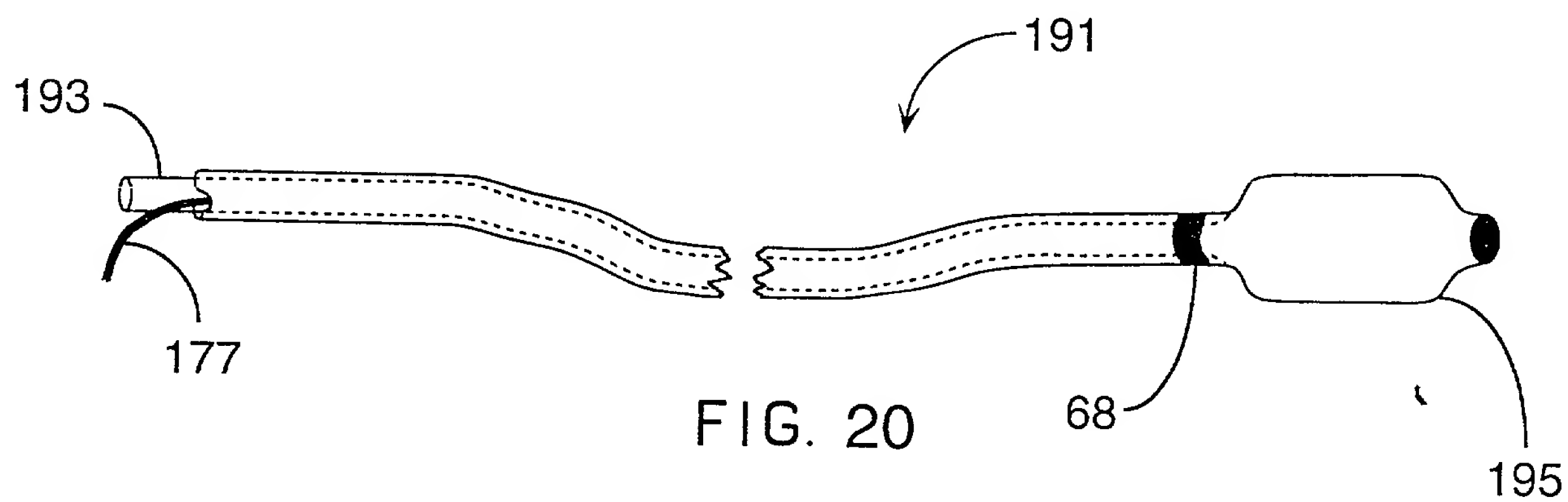
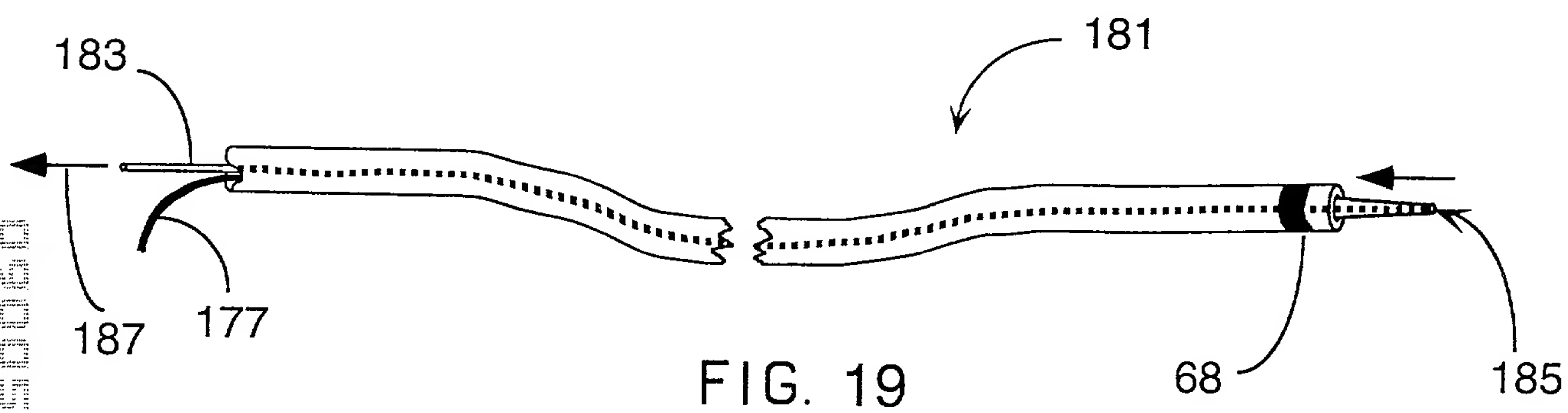
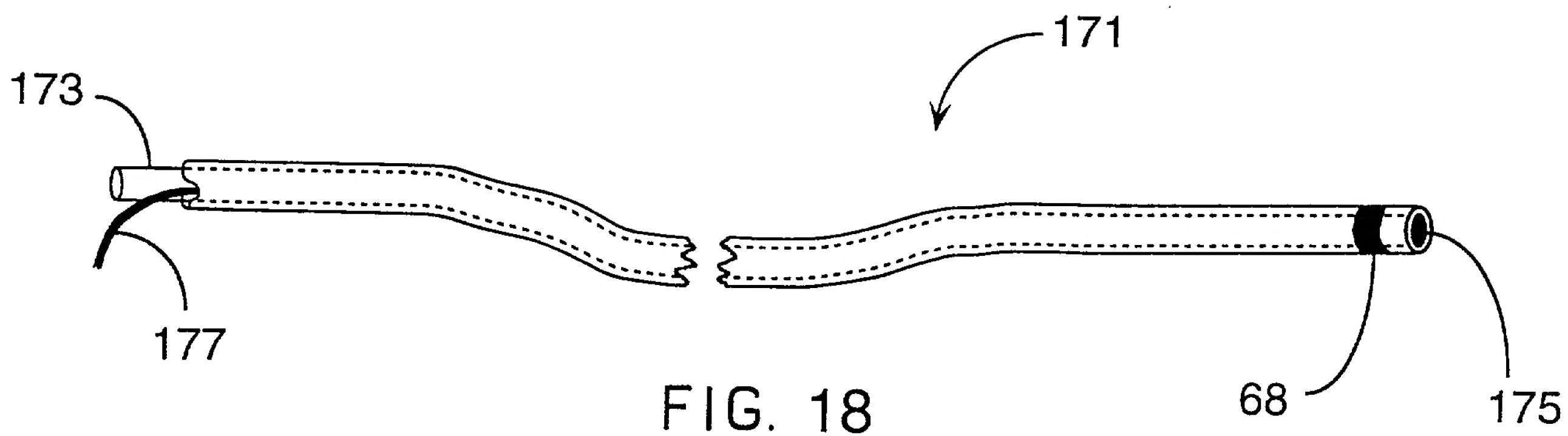


FIG. 17



From 08/387,832

MERCHANT, GOULD, SMITH, EDELL, WELTER & SCHMIDT

United States Patent Application

COMBINED DECLARATION AND POWER OF ATTORNEY

As a below named inventor I hereby declare that: my residence, post office address and citizenship are as stated below next to my name; that

I verily believe I am the original, first and sole inventor (if only one name is listed below) or a joint inventor (if plural inventors are named below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: ENDOCARDIAL MAPPING SYSTEM

The specification of which

a.    is attached hereto

b. ☒ was filed on February 16, 1995 as application serial no. 08/387,832 and was amended on    (if applicable) (in the case of a PCT-filed application) described and claimed in international no. PCT/US93/09015 filed September 23, 1995 and as amended on    (if any), which I have reviewed and for which I solicit a United States patent.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, § 1.56 (see page 3 attached hereto).

I hereby claim foreign priority benefits under Title 35, United States Code, § 119/365 of any foreign application(s) for patent of inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on the basis of which priority is claimed:

a. ☒ no such applications have been filed.

b.    such applications have been filed as follows:

FOREIGN APPLICATION(S), IF ANY, CLAIMING PRIORITY UNDER 35 USC § 119			
COUNTRY	APPLICATION NUMBER	DATE OF FILING (day, month, year)	DATE OF ISSUE (day, month, year)
ALL FOREIGN APPLICATION(S), IF ANY, FILED BEFORE THE PRIORITY APPLICATION(S)			
COUNTRY	APPLICATION NUMBER	DATE OF FILING (day, month, year)	DATE OF ISSUE (day, month, year)

I hereby claim the benefit under Title 35, United States Code, § 120/365 of any United States and PCT international application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, § 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application.

U.S. APPLICATION NUMBER	DATE OF FILING (day, month, year)	STATUS (patented, pending, abandoned)
07/949,690	23 September 1992	Issued
07/950,448	23 September 1992	Issued

I hereby appoint the following attorney(s) and/or patent agent(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected herewith:

Adriano, Sarah B.	Reg. No. 34,470	Gabilan, Mary Susan	Reg. No. P-38,729	Pollinger, Steven J.	Reg. No. 35,326
Batzli, Brian H.	Reg. No. 32,960	Golla, Charles E.	Reg. No. 26,896	Reich, John C.	Reg. No. 37,703
Beard, John L.	Reg. No. 27,612	Gorman, Alan G.	Reg. No. P-38,472	Reiland, Earl D.	Reg. No. 25,767
Beck, Robert C.	Reg. No. 28,184	Gould, John D.	Reg. No. 18,223	Schmidt, Cecil C.	Reg. No. 20,566
Bejin, Thomas E.	Reg. No. 37,089	Gresens, John J.	Reg. No. 33,112	Schuman, Mark D.	Reg. No. 31,197
Berman, Charles	Reg. No. 29,249	Hammer, Michael S.	Reg. No. P-38,483	Schumann, Michael D.	Reg. No. 30,422
Bogucki, Raymond A.	Reg. No. 17,426	Hamre, Curtin B.	Reg. No. 29,165	Sebald, Gregory A.	Reg. No. 33,280
Bruess, Steven C.	Reg. No. 34,130	Hassing, Thomas A.	Reg. No. 36,159	Smith, Jerome R.	Reg. No. 35,684
Byrne, Linda M.	Reg. No. 32,404	Hillson, Randall A.	Reg. No. 31,838	Sorensen, Andrew D.	Reg. No. 33,606
Carlson, Alan G.	Reg. No. 25,959	Hollingsworth, Mark A.	Reg. No. P-38,491	Stinebruner, Scott A.	Reg. No. P-38,323
Carter, Charles G.	Reg. No. 35,093	Kadievitch, Caroline G.	Reg. No. P-38,198	Strawbridge, Douglas A.	Reg. No. 28,376
Caspers, Philip P.	Reg. No. 33,227	Kastelic, Joseph M.	Reg. No. 37,160	Strodthoff, Kristine M.	Reg. No. 34,259
Clifford, John A.	Reg. No. 30,247	Kowalchyk, Alan W.	Reg. No. 31,535	Summer, John P.	Reg. No. 29,114
Conrad, Timothy R.	Reg. No. 30,164	Kowalchyk, Katherine M.	Reg. No. 36,848	Summers, John S.	Reg. No. 24,216
Daignault, Ronald A.	Reg. No. 25,968	Krull, Mark A.	Reg. No. 34,205	Tellekson, David K.	Reg. No. 32,314
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Daulton, Julie R.	Reg. No. 36,414	Lynch, David W.	Reg. No. 36,204	Vandenburgh, J. Derek	Reg. No. 32,179
DeFrank, Edmond A.	Reg. No. 37,814	Mau, Michael L.	Reg. No. 30,087	Vietzke, Lance L.	Reg. No. 36,708
DiPietro, Mark J.	Reg. No. 28,707	McDonald, Daniel W.	Reg. No. 32,044	Welter, Paul A.	Reg. No. 20,890
Edell, Robert T.	Reg. No. 20,187	McDonald, Wendy M.	Reg. No. 32,427	Williams, Douglas J.	Reg. No. 27,054
Farber, Michael B.	Reg. No. 32,612	Nelson, Albin J.	Reg. No. 28,650	Wood, Gregory B.	Reg. No. 28,133
Gates, George H.	Reg. No. 33,500	Plunkett, Theodore	Reg. No. 37,209	Yip, Philip S.	Reg. No. 37,265

I hereby authorize them to act and rely on instructions from and communicate directly with the person/assignee/attorney/firm/organization/who/which first sends/sent this case to them and by whom/which I hereby declare that I have consented after full disclosure to be represented unless/until I instruct Merchant & Gould to the contrary.

Please direct all correspondence in this case to Merchant, Gould, Smith, Edell, Welter & Schmidt at the address indicated below:

Robert C. Beck, 3100 Norwest Center, 90 South Seventh Street, Minneapolis, Minnesota 55402

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

201	Full Name Of Inventor	Family Name	First Given Name	Second Given Name
	Residence & Citizenship	City	State or Foreign Country	Country of Citizenship
	Post Office Address	Post Office Address	City	State & Zip Code/Country
202	Full Name Of Inventor	Family Name	First Given Name	Second Given Name
203	Residence & Citizenship	City	State or Foreign Country	Country of Citizenship
204	Post Office Address	Post Office Address	City	State & Zip Code/Country
205	Full Name Of Inventor	Family Name	First Given Name	Second Given Name
	Residence & Citizenship	City	State or Foreign Country	Country of Citizenship
	Post Office Address	Post Office Address	City	State & Zip Code/Country

Signature of Inventor 201	Signature of Inventor 202	Signature of Inventor 203
Date	Date	Date

For Additional Inventors:

— Indicate here and attach sheet with same information, including date and signature.



## § 1.56 Duty to disclose information material to patentability.

(a) A patent by its very nature is affected with a public interest. The public interest is best served, and the most effective patent examination occurs when, at the time an application is being examined, the Office is aware of and evaluates the teachings of all information material to patentability. Each individual associated with the filing and prosecution of a patent application has a duty of candor and good faith in dealing with the Office, which includes a duty to disclose to the Office all information known to that individual to be material to patentability as defined in this section. The duty to disclose information exists with respect to each pending claim until the claim is cancelled or withdrawn from consideration, or the application becomes abandoned. Information material to the patentability of a claim that is cancelled or withdrawn from consideration need not be submitted if the information is not material to the patentability of any claim remaining under consideration in the application. There is no duty to submit information which is not material to the patentability of any existing claim. The duty to disclose all information known to be material to patentability is deemed to be satisfied if all information known to be material to patentability of any claim issued in a patent was cited by the Office or submitted to the Office in the manner prescribed by §§ 1.97(b)-(d) and 1.98. However, no patent will be granted on an application in connection with which fraud on the Office was practiced or attempted or the duty of disclosure was violated through bad faith or intentional misconduct. The Office encourages applicants to carefully examine:

(1) prior art cited in search reports of a foreign patent office in a counterpart application, and

(2) the closest information over which individuals associated with the filing or prosecution of a patent application believe any pending claim patentably defines, to make sure that any material information contained therein is disclosed to the Office.

(b) Under this section, information is material to patentability when it is not cumulative to information already of record or being made of record in the application, and

(1) It establishes, by itself or in combination with other information, a prima facie case of unpatentability of a claim;

(2) It refutes, or is inconsistent with, a position the applicant takes in:

(i) Opposing an argument of unpatentability relied on by the Office, or

(ii) Asserting an argument of patentability.

A prima facie case of unpatentability is established when the information compels a conclusion that a claim is unpatentable under the preponderance of evidence, burden-of-proof standard, giving each term in the claim its broadest reasonable construction consistent with the specification, and before any consideration is given to evidence which may be submitted in an attempt to establish a contrary conclusion of patentability.

(c) Individuals associated with the filing or prosecution of a patent application within the meaning of this section are:

(1) Each inventor named in the application:

(2) Each attorney or agent who prepares or prosecutes the application; and

(3) Every other person who is substantively involved in the preparation or prosecution of the application and who is associated with the inventor, with the assignee or with anyone to whom there is an obligation to assign the application.

(d) Individuals other than the attorney, agent or inventor may comply with this section by disclosing information to the attorney, agent, or inventor.



From 08/420,698

MERCHANT, GOULD, SMITH, EDELL, WELTER & SCHMIDT

United States Patent Application

COMBINED DECLARATION AND POWER OF ATTORNEY

As a below named inventor I hereby declare that: my residence, post office address and citizenship are as stated below next to my name; that

I verily believe I am the original, first and sole inventor (if only one name is listed below) or a joint inventor (if plural inventors are named below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: ELECTROPHYSIOLOGY MAPPING SYSTEM

The specification of which

a. ☒ is attached hereto

b. ☐ was filed on  as application serial no.  and was amended on  (if applicable) (in the case of a PCT-filed application) described and claimed in international no.  filed  and as amended on  (if any), which I have reviewed and for which I solicit a United States patent.

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U.S. APPLICATION NUMBER	DATE OF FILING (day, month, year)	STATUS (patented, pending, abandoned)
08/387,832	February 16, 1995	Pending
07/950,448	September 23, 1992	Issued

U.S. APPLICATION NUMBER	DATE OF FILING (day, month, year)	STATUS (patented, pending, abandoned)
07/949,690	September 23, 1992	Issued

I hereby appoint the following attorney(s) and/or patent agent(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected herewith:

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Batzli, Brian H.	Reg. No. 32,960	Gates, George H.	Reg. No. 33,500	Reich, John C.	Reg. No. 37,703
Beard, John L.	Reg. No. 27,612	Golla, Charles E.	Reg. No. 26,896	Reiland, Earl D.	Reg. No. 25,767
Beck, Robert C.	Reg. No. 28,184	Gorman, Alan G.	Reg. No. 38,472	Schmidt, Cecil C.	Reg. No. 20,566
Bejin, Thomas E.	Reg. No. 37,089	Gould, John D.	Reg. No. 18,223	Schuman, Mark D.	Reg. No. 31,197
Berman, Charles	Reg. No. 29,249	Gresens, John J.	Reg. No. 33,112	Schumann, Michael D.	Reg. No. 30,422
Bogucki, Raymond A.	Reg. No. 17,426	Hamre, Curtis B.	Reg. No. 29,165	Sebald, Gregory A.	Reg. No. 33,280
Bruess, Steven C.	Reg. No. 34,130	Hassing, Thomas A.	Reg. No. 36,159	Sharp, Janice A.	Reg. No. 34,051
Byrne, Linda M.	Reg. No. 32,404	Hillson, Randall A.	Reg. No. 31,838	Smith, Jerome R.	Reg. No. 35,684
Carlson, Alan G.	Reg. No. 25,959	Hollingsworth, Mark A.	Reg. No. 38,491	Sorensen, Andrew D.	Reg. No. 33,606
Carter, Charles G.	Reg. No. 35,093	Kastelic, Joseph M.	Reg. No. 37,160	Stinebruner, Scott A.	Reg. No. 38,323
Caspers, Philip P.	Reg. No. 33,227	Kowalchyk, Alan W.	Reg. No. 31,535	Strawbridge, Douglas A.	Reg. No. 28,376
Clifford, John A.	Reg. No. 30,247	Kowalchyk, Katherine M.	Reg. No. 36,848	Strodthoff, Kristine M.	Reg. No. 34,259
Conrad, Timothy R.	Reg. No. 30,164	Krull, Mark A.	Reg. No. 34,205	Sumner, John P.	Reg. No. 29,114
Crawford, Robert	Reg. No. 32,122	Lacy, Paul A.	Reg. No. P-38,946	Sumners, John S.	Reg. No. 24,216
Daignault, Ronald A.	Reg. No. 25,968	Lasky, Michael B.	Reg. No. 29,555	Tellekson, David K.	Reg. No. 32,314
Daley, Dennis R.	Reg. No. 34,994	Lynch, David W.	Reg. No. 36,204	Underhill, Albert L.	Reg. No. 27,403
Daulton, Julie R.	Reg. No. 36,414	Mau, Michael L.	Reg. No. 30,087	Vandenburgh, J. Derek	Reg. No. 32,179
Dempster, Shawn B.	Reg. No. 34,321	McDonald, Daniel W.	Reg. No. 32,044	Vietzke, Lance L.	Reg. No. 36,708
DiPietro, Mark J.	Reg. No. 28,707	McDonald, Wendy M.	Reg. No. 32,427	Welter, Paul A.	Reg. No. 20,890
Edell, Robert T.	Reg. No. 20,187	Mueller, Douglas P.	Reg. No. 30,300	Williams, Douglas J.	Reg. No. 27,054
Farber, Michael B.	Reg. No. 32,612	Nelson, Albin J.	Reg. No. 28,650	Wood, Gregory B.	Reg. No. 28,133
Fauver, Cole M.	Reg. No. 36,797	Plunkett, Theodore	Reg. No. 37,209		

I hereby authorize them to act and rely on instructions from and communicate directly with the person/assignee/attorney/firm/organization/who/which first sends/sent this case to them and by whom/which I hereby declare that I have consented after full disclosure to be represented unless/until I instruct Merchant, Gould to the contrary.

Please direct all correspondence in this case to Merchant, Gould, Smith, Edell, Welter & Schmidt at the address indicated below:

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

201	Full Name Of Inventor	Family Name Budd	First Given Name Jeffrey	Second Given Name Robert
0	Residence & Citizenship	City St. Paul	State or Foreign Country Minnesota	Country of Citizenship U.S.A.
1	Post Office Address	Post Office Address 2261 Gordon Avenue	City St. Paul	State & Zip Code/Country Minnesota/55108/U.S.A.
202	Full Name Of Inventor	Family Name Beatty	First Given Name Graydon	Second Given Name Ernest
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2	Post Office Address	Post Office Address 1170 Cushing Circle, #319	City St. Paul	State & Zip Code/Country Minnesota/55108/U.S.A.
203	Full Name Of inventor	Family Name Hauck	First Given Name John	Second Given Name Anderson
0	Residence & Citizenship	City Shoreview	State or Foreign Country Minnesota	Country of Citizenship U.S.A.
3	Post Office Address	Post Office Address 5900 Hodgson Road	City Shoreview	State & Zip Code/Country Minnesota/55126/U.S.A.

For Additional Inventors:  
 \_ Indicate here and attach sheet with same information, including date and signature.

TB762903284WS  
 4/12/95  
 I hereby certify that this product is being deposited  
 with the United States Postal Service under 37 CFR 1.10 on the  
 date indicated above. It is addressed to the  
 Commissioner of Patents, Washington,  
 D. C. 20231  
 KATIE KRUSE  
 printed name  
 Katie Kruse  
 signature

Revised 4/5/93

## § 1.56 Duty to disclose information material to patentability.

(a) A patent by its very nature is affected with a public interest. The public interest is best served, and the most effective patent examination occurs when, at the time an application is being examined, the Office is aware of and evaluates the teachings of all information material to patentability. Each individual associated with the filing and prosecution of a patent application has a duty of candor and good faith in dealing with the Office, which includes a duty to disclose to the Office all information known to that individual to be material to patentability as defined in this section. The duty to disclose information exists with respect to each pending claim until the claim is cancelled or withdrawn from consideration, or the application becomes abandoned. Information material to the patentability of a claim that is cancelled or withdrawn from consideration need not be submitted if the information is not material to the patentability of any claim remaining under consideration in the application. There is no duty to submit information which is not material to the patentability of any existing claim. The duty to disclose all information known to be material to patentability is deemed to be satisfied if all information known to be material to patentability of any claim issued in a patent was cited by the Office or submitted to the Office in the manner prescribed by §§ 1.97(b)-(d) and 1.98. However, no patent will be granted on an application in connection with which fraud on the Office was practiced or attempted or the duty of disclosure was violated through bad faith or intentional misconduct. The Office encourages applicants to carefully examine:

(1) prior art cited in search reports of a foreign patent office in a counterpart application, and

(2) the closest information over which individuals associated with the filing or prosecution of a patent application believe any pending claim patentably defines, to make sure that any material information contained therein is disclosed to the Office.

(b) Under this section, information is material to patentability when it is not cumulative to information already of record or being made of record in the application, and

or (1) It establishes, by itself or in combination with other information, a prima facie case of unpatentability of a claim;

(2) It refutes, or is inconsistent with, a position the applicant takes in:

(i) Opposing an argument of unpatentability relied on by the Office, or

(ii) Asserting an argument of patentability.

A prima facie case of unpatentability is established when the information compels a conclusion that a claim is unpatentable under the preponderance of evidence, burden-of-proof standard, giving each term in the claim its broadest reasonable construction consistent with the specification, and before any consideration is given to evidence which may be submitted in an attempt to establish a contrary conclusion of patentability.

(c) Individuals associated with the filing or prosecution of a patent application within the meaning of this section are:

(1) Each inventor named in the application;

(2) Each attorney or agent who prepares or prosecutes the application; and

(3) Every other person who is substantively involved in the preparation or prosecution of the application and who is associated with the inventor, with the assignee or with anyone to whom there is an obligation to assign the application.

(d) Individuals other than the attorney, agent or inventor may comply with this section by disclosing information to the attorney, agent, or inventor.

## SMALL BUSINESS

### VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS (37 C.F.R. 1.9(f) AND 1.27(c)) - SMALL BUSINESS CONCERN

I hereby declare that I am

- a) ☐ the owner of the small business concern identified below:
- b) ☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF CONCERN: Endocardial Solutions, Inc.  
ADDRESS OF CONCERN: 1350 Energy Lane, Suite 110  
St. Paul, Minnesota 55108-5253

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 C.F.R. 121.3-18, and reproduced in 37 C.F.R. 1.9(d), for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled ELECTROPHYSIOLOGY MAPPING SYSTEM

by inventor(s) Jeffrey Robert Budd, Graydon Ernest Beatty, and John Anderson Hauck

described in

- a) ☒ the specification filed herewith.  
b) ☐ application serial no. \_\_\_\_\_, filed \_\_\_\_\_.  
c) ☐ patent no. \_\_\_\_\_, issued \_\_\_\_\_.

If the rights held by the above-identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 C.F.R. 1.9(c) or by any concern which would not qualify as a small business concern under 37 C.F.R. 1.9(d) or a nonprofit organization under 37 C.F.R. 1.9(e). \*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 C.F.R. 1.27)

NAME \_\_\_\_\_  
ADDRESS \_\_\_\_\_  
a) ☐ INDIVIDUAL      b) ☐ SMALL BUSINESS CONCERN      c) ☐ NONPROFIT ORGANIZATION

NAME \_\_\_\_\_  
ADDRESS \_\_\_\_\_  
a) ☐ INDIVIDUAL      b) ☐ SMALL BUSINESS CONCERN      c) ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 C.F.R. 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereof, or any patent to which this verified statement is directed.

NAME Jeffrey Robert Budd  
TITLE Senior Scientist, Endocardial Solutions, Inc.  
ADDRESS 1350 Energy Lane, Suite 110, St. Paul, Minnesota 55108-5253  
SIGNATURE [Signature] DATE April 12, 1995